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ABSTRACT

Based on responses to a survey from 79 Association of Research Libraries (ARL) member libraries, this Systems and Procedures Exchange Center (SPEC) kit explores how these libraries are currently addressing management issues associated with materials budgets. The survey addressed the following broad areas: how libraries define their materials budgets; what the sources are for these funds; who is responsible for allocation and expenditure decisions; and what policies and procedures guide these activities. Responses to these questions are summarized and major issues and trends are identified. In addition, budget procedures, materials selection policies, and budget reports were provided by the following institutions: Brigham Young University; Brown University; University of California (Berkeley, Irvine, Riverside); Colorado State University; University of Florida; McMaster University; University of Miami; University of Minnesota; State University of New York (Buffalo); University of North Carolina at Chapel Hill; Pennsylvania State University; and University of Toronto. Concluding the document is a sample agreement for the acquisition of a financial database at the University of California (Riverside). The survey instrument is included. (9 selected readings) (MAB)

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Materials Budgets in ARL Libraries

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MATERIALS BUDGETS IN ARL LIBRARIES

by Peggy Johnson, Assistant Director
St. Paul Campus Libraries
University of Minnesota

INTRODUCTION

Questions of equitable distribution of funds, the pros and cons of allocation formulas, monitoring balances so that the dollars will last to the end of the year, and accountability have long concerned ARL libraries. These and similar concerns have become particularly compelling in times of shrinking budgets and rapidly increasing prices. At the same time that libraries are seeking acceptable answers to these continuing issues, they are beginning to acquire and provide access to non-traditional formats and sources of information, further complicating an already complex budgetary responsibility.

A variety of forces are driving the effort to refine budgeting processes. These include rising materials prices, shrinking budgets, and the impact of new technologies for the delivery of information. In addition, the service sector, particularly publicly funded institutions, is facing increasing demands for accountability. Materials budgets typically account for a fourth to a third of a library's total budget--$1.8 to $10.5 million in the ARL libraries. Libraries are striving to manage their funds in order to gain maximum use in the midst of conflicting demands. SPEC Kit #166, *Materials Budgets in ARL Libraries,* explores how libraries are currently addressing management issues associated with materials budgets.

SURVEY RESULTS

A SPEC survey was sent to 108 academic library members of the Association of Research Libraries (ARL) in Fall 1990. A total of 79 questionnaires were returned, a 73% response rate. Questions were intended to explore three broad areas: How are libraries defining their materials budgets and what constitutes the universe for which it is used? What are the sources of these funds, particularly as they are used to acquire and access non-traditional resources? Who has responsibility for allocation and expenditure decisions and what policies and procedures are in place to guide these activities?

The "Materials" Budget Most respondents report that they use the phrase "materials budget" to identify the funds used to acquire and lease materials. All libraries report that this budget is used to acquire books and serials; nearly 99% also use these funds to acquire other formats, defined in the survey as microforms, videos, sound recordings. Slightly over 87% of the libraries are acquiring computer files through the materials budget. Most frequently, these are bibliographic files (acquired by approximately 87%); both textual and numeric files are acquired by over half the reporting libraries. Interestingly, 15% of the respondents use materials budget funds to purchase computer hardware to access these files, and nearly 9% use these funds to cover preprocessing and servicing of the computer files.

Sources of Funds All of the libraries responding to this question reported receiving funds as reoccurring institutional allocations. These funds constitute approximately 74% of the total materials budget. Just over 75% list library gifts and endowments as a source, though these funds average only 3% of the total budget. One-third of the libraries are receiving one-time institutional allocations (averaging 12.7% of the annual total budget), an amount that has significant implications for managing budgets from year to year.

Less than 40% have obtained additional funds to acquire computer files. Reported amounts ranged from $1,500 to $15,000. Several respondents noted that academic departments supplied funds for computer hardware to support use of discipline-based computer files in the library. Only 30% received dollars as one-time institutional allocations; the largest of these was $50,000. A single library reported that it had obtained a permanent addition to base to support acquisitions of computer files.

Slightly over half the libraries that have not received additional funds for computer files have plans to seek such funds. The sources most frequently proposed (by 36%) are academic departments; given the successes reported above, this seems one of the most viable options.

Allocation and Expenditure Decisions Most libraries (over 82%) reported that allocation and reallocation of funds is the responsibility of the collection development officer, often in consultation with the chief librarian or an internal library

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committee. Nearly all allocation decisions are made within the library. Only slightly more than 15% involve a faculty committee or academic departments in allocation decisions. Two respondents reported other participants outside the library: in one case, a review by academic deans; another involved the university business office.

The survey offered a lengthy list of possible variables considered when allocating and reallocating funds. Over half the reporting libraries indicate they consider at least 14 of the 19 possibilities. The three most frequently weighed factors (cost of materials, inflation and the value of the dollar on the international market, and price differences between various categories of materials) are external to the institution. These factors have been the most volatile recently, leading to their importance in allocation decisions from year to year. In addition, libraries frequently find it easier to locate statistical data in these market-based areas than when they seek programmatic information about their own institutions. Interestingly, use of the collection and unfilled patron needs were only considered by 64.6% of the respondents when making allocation decisions.

Eleven of the 79 libraries use a numerical formula in calculating allocations and reallocations, though four additional libraries report that they have plans to do so. There is little consistency among the formula elements. Only two factors (rate and pattern of publishing in various subject areas and differences in costs between various categories of materials) were referenced by four of the five libraries.

A majority of libraries (86%) place responsibility for monitoring expenditures with the collection development officer. Most libraries also assign some responsibilities in this area to the acquisitions librarian and/or bibliographers. The library business office or accounting office is assigned responsibility in 14% of reporting libraries.

Libraries more frequently track expenditures in greater detail than they do allocations. Some respondents noted that automated systems have made monitoring of both allocations and expenditures much easier and more detailed. While close to 40% of the libraries reported that they did not track allocations according to all possible categories of materials acquired, over 75% do more detailed monitoring of expenditures by type of expense and format of materials. Libraries who answered that they did not track expenditures by all categories generally reported that they did so by two broad categories--books and serials.

Well over half (65.8%) of the respondents stated that their library does not seek to maintain a constant ratio between monographs and serials expenditures. Three libraries noted that even though they had a proscribed ratio, it had been abandoned in the last few years because of extreme increases in serials prices.

Thirty-four libraries reported their ratio of monographs to serials. Some noted that this ratio was the goal, others that it reflected the situation in the current fiscal year. A 40/60 ratio of monographs to serials was reported by more libraries (eight) than any other, but there is little consistency overall. Reported ratios range from 50/50 to 15/85. Libraries were equally divided in whether they had different ratios for different disciplines.

Only just over half the libraries have formally addressed the budgetary issues associated with acquiring and maintaining computer files. An internal task force or committee was created at 38% of these 41 libraries, while just over 29% have drafted policy statements that deal specifically with computer files. However, these percentages become more meaningful when considered in relation to all respondents. Only 20% of the total responding libraries have appointed an internal task force or committee, only 15% have written policy statements or met with university administrators, and only 11% have met with faculty.

The allocation of funds to acquire and access computer files is more commonly the responsibility of the individual bibliographer, often in consultation with an internal library committee. The collection development officer has a smaller role in this area than in the general allocation of funds. Several respondents noted that each bibliographer makes decisions about acquiring computer files within the context of his or her other selection decisions and therefore allocations are not made specifically for acquisition of computer files.

ISSUES AND NEEDS

The search for the perfect allocation formula or the ideal ratio between serials and monographs is a frustrating process. The various approaches reported by libraries reiterate the fact that such efforts are most often applicable to only one institution and often as volatile as the factors they seek to measure. This is not to suggest that libraries give up the effort, but that they approach the process with reasonable expectations.

Sources of funding are another area that merits attention. The sources of materials budgets are, in many ways, as variable as the factors that guide allocation decisions. While reoccurring institutional allocations can always be reduced, libraries have some measure of confidence in their continuity. On the other hand, survey responses indicate that close to a quarter of annual materials budget funds (at the libraries that answered this particular question) are the result of one-time allocations, gifts, and other unpredictable sources. In times of recession, all sources are increasingly unstable. Libraries will do well to develop contingency plans for allocating, expending, and managing materials budgets.

Costs associated with providing access to the universe of computer-based information is yet another variable to which libraries should attend. In the face of shrinking budgets and increasing costs, discussions of institutional priorities in the providing of information can help to guide library allocation, acquisition, and expenditure decisions.

This kit/flyer was produced as part of the OMS Collaborative Research/Writing Program.

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SURVEY RESULTS

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF MANAGEMENT SERVICES
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036
202-232-8656 FAX 202-462-7849

TO: SPEC Liaisons

FROM: C. Brigid Welch, Program Officer for Information Services
Peggy Johnson, University of Minnesota

DATE: 13 August 1990

SUBJECT: SPEC Kit on Materials Budgets

At the same time that libraries are facing decreasing materials budgets and increasing prices, they are also beginning to acquire and provide access to non-traditional formats and sources of information. They are facing decisions about how to fund these resources initially and on a continuing basis. At the heart of the matter are questions of retrenchment, allocation, and reallocation.

This SPEC Kit seeks to address these major issues by asking questions about:

1. the universe being acquired or leased with materials budget funds
2. the sources of these funds, particularly as they are used to acquire and access non-traditional resources
3. policies and procedures that guide allocation and expenditure decisions.

SPEC SURVEY - MATERIALS BUDGETS

Library/Institution:_____

Contact Person:_____

Title: _____ Telephone: _____

1. What name does your library give the "materials" budget?

_____ materials budget
_____ access budget
_____ information budget
_____ book budget
_____ resources budget
_____ other:_____

2. What is funded through this budget? (Check all that apply.)

_____ books
_____ serials
_____ government documents
_____ other formats (microforms, videos, sound recordings)
_____ computer files (pc-based diskettes, mainframe tapes, CD-ROM)
_____ computer file preprocessing and servicing
_____ computer hardware to manage computer files
_____ resource lease agreements
_____ binding
_____ preservation and conservation
_____ consortial memberships
_____ bibliographic utility memberships
_____ bibliographic utility transaction fees
_____ remote database searching
_____ other:_____

ENCLOSE POLICY STATEMENTS THAT SPECIFY WHAT MAY BE ACQUIRED WITH MATERIALS BUDGET FUNDS.

3. If your library acquires (through purchase or lease) computer files, which of the following types are acquired?

_____ bibliographic files
_____ numeric files
_____ other:_____
_____ textual files
_____ applications software

4. Does your library track allocation and expenditure by the categories listed in question 2?

Allocations: _____ yes _____ no
Expenditures: _____ yes _____ no

5. Does your library seek to maintain a constant ratio between monographs and serials expenditures?

_____ yes _____ no

If yes, what is this ratio for the library as a whole?

_____ % monographs _____ % serials

6. Does your library have different ratios for different disciplines?

_____ yes _____ no

ENCLOSE ANY POLICIES OR PROCEDURES FOR DETERMINING, MONITORING, OR MANAGING THE MONOGRAPHS/SERIALS RATIO.

7. What are the sources of the materials budget funds in the most recent fiscal year?

% of total

_____ recurring institutional allocation
_____ one-time institutional allocation
_____ indirect cost recovery funds from institutional research grants
_____ library gifts and endowments
_____ direct cost recovery from library users
_____ other: _____

8. Have you obtained additional funds to acquire computer files?

_____ yes _____ no

If yes, what are the sources?

Amount	Source
_____	one-time institutional allocation
_____	grants
_____	academic departments
_____	other: _____

If no, do you have plans to do so and from what sources?

Amount	Source
_____	one-time institutional allocation
_____	grants
_____	academic departments
_____	other: _____

9. Has your library formally addressed the budgetary issues associated with acquiring and maintaining computer files, either within the library or within your parent institution?

_____ yes _____ no

If yes, through what means? (check all that apply):

_____ internal task force or committee _____ policy statement
_____ meetings with university administrators _____ meetings with faculty
_____ other: _____

If yes, who (give position title):

drafted the policy statement: _____
met with university administrators: _____
met with faculty: _____

ENCLOSE ANY POLICIES, NEWSLETTERS, "WHITE PAPERS," ETC. THAT ADDRESS THESE ISSUES.

10. Allocation and reallocation of funds is done by (check all that apply):

_____ chief librarian or other administrative officer
_____ collection development officer
_____ head of acquisitions
_____ staff and/or administrative committee
_____ cooperative effort between library and faculty committee or departments
_____ other: _____

11. Which of the following are considered when allocating and reallocating funds (check all that apply):

external:
_____ rate and pattern of publishing in various subject areas
_____ costs of materials
_____ differences in costs between various categories of materials
_____ inflation and the value of the dollar on the international market

internal:
_____ size of collection*
_____ rate of growth of the collection*
_____ historical development of the collection*
_____ historical allocation patterns
_____ monograph/serials ratio within the collection*
_____ use of the collection*
_____ unfilled patron needs
_____ interlibrary borrowing and lending statistics

* collection to be defined as a subject, discipline, department

user group:
_____ faculty size
_____ student enrollment
_____ credit hours
_____ graduate programs
_____ # of degrees granted
_____ academic distinction of departments
_____ dependence of discipline on library resources

other:
_____ _____
_____ _____
_____ _____

12. Does your library use a numerical formula that incorporates some or all of the above factors in calculating allocations and reallocations?

_____ yes _____ no

If yes, please **circle** all the factors in question 11 that are part of the formula.

ENCLOSE ANY POLICIES AND PROCEDURES THAT ADDRESS THE ALLOCATION PROCESS.

13. Monitoring of expenditures is done by (check all that apply):

_____ collection development officer _____ bibliographer/selector
_____ acquisitions librarian _____ other: _____

14. Who makes decisions about the allocation of funds to acquire and access computer files? Check all that apply.

_____ collection development officer _____ individual bibliographer/selector
_____ internal library committee _____ other: _____

Your additional comments on any of the questions or issues identified will be most helpful in preparing the kit. Please use the back of this survey or attach additional pages.

Return this survey form, **with supporting documents** (budget planning, justification, and allocation documents; committee reports; policy statements, etc.) by **September 30, 1990** to:

Peggy Johnson, Assistant Director
St. Paul Campus Libraries
University of Minnesota
1984 Buford Avenue
St. Paul MN 55108

PHONE (612) 624-1720

SURVEY RESULTS: Statistical Summary

Note: Unless specified, N = 79.

1. What name does your library give the "materials" budget?

Percent of Libraries
Using Phrase

65.8%	materials budget
19.0%	acquisitions budget
8.7%	book budget
5.1%	information budget
5.1%	other: information access budget, collection development budget, acquisitions and access budget, information resources budget
3.8%	collections budget
1.3%	resources budget
0%	access budget

NOTE: Some libraries use more than one term; the most common pair of terms used was materials budget and information or information resources budget.

2. What is funded through this budget?

Percent of Libraries
Expending Funds for:

100.0%	books
100.0%	serials
98.7%	other formats (microforms, videos, sound recordings)
94.9%	government documents
87.3%	computer files (pc-based diskettes, mainframe tapes, CD-ROM)
70.9%	binding
51.9%	resource leasing agreements
48.1%	preservation and conservation
43.0%	consortial memberships
32.9%	remote database searching
24.1%	bibliographic utility memberships
22.8%	bibliographic utility transaction fees
15.2%	computer hardware to manage computer files
8.9%	other: memberships, maps, manuscripts, binding, ILL fees, postage, document delivery, acquisition travel
8.7%	computer file preprocessing and servicing

3. If your library acquires (through purchase or lease) computer files, which of the following types are acquired?

Percent of Libraries
Acquiring Types of
Computer Files

87.3% bibliographic files
58.2% textual files
60.8% numeric files
27.9% applications software
5.1% other:instructional software, graphics files, access software

4. Does your library track allocation and expenditure by the categories listed in question 2?

Allocations:	63.3%	yes	36.7%	no	
Expenditures:	76.6%	yes	23.4%	no	

5. Does your library seek to maintain a constant ratio between monographs and serials expenditures?

34.2% yes
65.8% no

If yes, what is this ratio for the library as a whole?

NOTE: While only 27 libraries reported that they had a specified ratio, 34 libraries reported their ratio of monographs to serials. Some noted that though they had a desired ratio, reality did not reflect it. Other respondents reported the ratio for the current fiscal year.

# of Libraries	Monographs	Serials	
---	---	---	
1	45-50%	50-55%	
4	50%	50%	
1	35-40%	50-65%; but slipped to 30/70	
2	45%	55%	
1	45%	52%	3% binding
1	44%	56%	
3	43%	57%	
8	40%	60%	
2	36%	64%	
2	35%	65%	
6	30%	70%	
1	25%	75%	
1	20%	80%	
1	15%	85%	

6. Does your library have different ratios for different disciplines?

Only 64 libraries answered this question; they were equally divided in their responses.

50%	yes
50%	no

7. What are the sources of the materials budget funds in the most recent fiscal year?

Percent of Libraries Receiving Funds in Stated Category (N=78)	
98.7%	reoccurring institutional allocation
75.6%	library gifts and endowments
33.3%	one-time institutional allocation
19.2%	direct cost recovery from library users
16.7%	other: grants, sales, lost books, fines, special state allocations, student fees, funds recovered from operating budget
14.1%	indirect cost recovery funds from institutional research grants

Average Amount Received (Percent of Total) (N=58)	
74.2%	reoccurring institutional allocation
12.7%	one-time institutional allocation
6.6%	indirect cost recovery funds from institutional research grants
2.9%	other: grants, sales, lost books, fines, special state allocations, student fees, funds recovered from operating budget
3.1%	library gifts and endowments
.5%	direct cost recovery from library users

8. Have you obtained additional funds to acquire computer files?

39.2% yes
60.8% no

If yes, what are the sources?

Percent of Libraries Receiving Funds From Specified Source (N=30)	
53%	academic departments
40%	other: gifts, endowments, addition to base, research department, university foundation, computer center, campus computer user fees (portion granted to library), redirecting funds from operating budget
30%	grants
30%	one-time institutional allocation

If no, do you have plans to do so and from what sources? Of the 47 libraries that have not received additional funds, 25 (53%) have plans to seek such funds.

Percent of Libraries Proposing to Seek Funds from Specified Source (N=25)	
36%	academic departments
32%	other: fund raising, endowments, cancel standing orders
20%	one-time institutional allocation
31%	grants

9. Has your library formally addressed the budgetary issues associated with acquiring and maintaining computer files, either within the library or within your parent institution?

51.9% yes
48.1% no

If yes, through what means? (check all that apply)
(N = 41)

Percent of Total Using Specified Means	
39.0%	internal task force or committee
29.3%	policy statement

29.3% meetings with university administrators
21.9% meetings with faculty
4.9% other: internal library meeting, request for additional funds

If yes, who:

drafted the policy statement?

# of libraries

5 collection development officer
2 collection development committee with collection development officer
1 task force with collection development officer
1 librarians for data services
1 collection development officer with systems librarians
1 bibliographers
1 university librarian with AULs

met with university administrators?

# of libraries

7 university librarian
2 collection development officer
1 university librarian with internal library committee
1 university librarian with AULs
1 library administrators

met with faculty?

# of libraries

3 university librarian
2 library administrators
1 university librarian with collection development officer
1 collection development officer and bibliographers
1 university librarian; division heads; bibliographers
1 collection development officer and AUL for technical services

10. Allocation and reallocation of funds is done by (check all that apply):

82.3% collection development officer
55.7% chief librarian or other administrative officer
31.7% staff and/or administrative committee
15.2% cooperative effort between library and faculty committee or departments
11.4% others involved: assistant university librarians (also called assistant directors) for public services, technical services, planning and development, library unit heads, academic deans, university business office
10.1% head of acquisitions

11. Which of the following are considered when allocating and reallocating funds (check all that apply):

Percent of Libraries
Considering Factor

96.2% costs of materials
89.9% inflation and the value of the dollar on the international market
82.3% differences in costs between various categories of materials
78.5% historical allocation patterns
77.2% graduate programs
75.6% historical development of the collection*
73.4% rate and pattern of publishing in various subject areas
70.9% dependence of discipline on library resources
68.4% faculty size
64.6% use of the collection*
64.6% unfilled patron needs
60.8% student enrollment
53.2% academic distinction of departments
50.6% monograph/serials ratio within the collection*
45.6% size of collection*
44.3% # of degrees granted
38.0% rate of growth of the collection*
36.7% interlibrary borrowing and lending statistics
27.9% credit hours
13.9% other: research activities, new programs, new grants, new faculty, university-assigned priorities, affect of approval plan, affect of collecting overlaps.

* collection to be defined as a subject, discipline, department

12. Does your library use a numerical formula that incorporates some or all of the above factors in calculating allocations and reallocations?

13.9% yes
86.1% no

Respondents who reported that their library used a numerical formula were asked to circle the factors in the list above that are part of their formula. Five did so; as the following list shows, there is little consistency in the formulas used.

# of Libraries	Factors Used in Numerical Formula
4	differences in costs between various categories of materials
4	rate and pattern of publishing in various subject areas
3	costs of materials
3	graduate programs
3	faculty size
2	inflation and the value of the dollar on the international market
2	dependence of discipline on library resources
2	use of the collection
2	student enrollment
2	# of degrees granted
2	credit hours
1	historical development of the collection
1	academic distinction of departments
1	monograph/serials ratio within the collection
1	size of collection
1	rate of growth of the collection
1	other: research activities

13. Monitoring of expenditures is done by (check all that apply):

86.1% collection development officer
79.8% acquisitions librarian
78.5% bibliographer/selector
22.8% other: department/unit heads, university librarian, assistant university librarians, planning and development officer
13.9% library business office/accounting office

NOTE: Library business office or accounting office was reported by enough libraries under "other," that it is listed separately above.

14. Who makes decisions about the allocation of funds to acquire and access computer files? Check all that apply.

64.6% individual bibliographer/selector
49.4% internal library committee
43.0% collection development officer
15.2% university librarian
13.9% other: assistant university librarians, other library administrators, department/unit heads, planning and development officer, "automation" people

BUDGET PROCEDURES

Department of Collection Management

University of Florida Libraries

Collection Management Bulletin No. 9 - November 1, 1989

Procedures for Selecting New Continuation Titles

Selection and Approval Process

Materials added to the collections as continuations include periodicals, serials, monographic series or any other title for which library orders, once placed, will stand, be renewed, or continued in effect until the title is specifically cancelled by the bibliographer or selector or ceases to be published. Because the cost of continuations is carried forward each year against the Library's materials budget, the bibliographer and selector should assess the need for a new continuation title carefully against the collection and academic program needs and available resources. Just as in any selection decision, deliberate judgement should exercised prior to placing a new order against the continuation budget.

The following bibliographers and administrators are charged with approving a new continuation selection prior to its submission to the Acquisitions Department. This responsibility relates to the budgetary divisions within the annual materials budget.

African Studies	Peter Malanchuk
Architecture/Arts Division	Ed Teague
Cartographic Materials	HelenJane Armstrong
Documents	Jan Swanbeck
General Serials	Chris Hanson
H&SS Reference	Chris Hanson
Judaica	Robert Singerman
Latin America	Rosa Mesa
Library Science	Max Willocks
Humanities Division	Frank DiTrolio
Sciences Division	Barry Hartigan
Social Sciences Division	Ray Jones
Special Collections	Sam Gowan

Following a selection decision, the attached form on page five of this bulletin, along with a serials order card, should be completed by the selector and forwarded to the appropriate bibliographer. If the selection is approved, the bibliographer will initial the card and forward the request to the Acquisitions Department. Since the Library has been asked to track the titles and amount of money spent to purchase new serial titles, the attached form has been built as a Double Helix database. Consequently, the completed forms will be entered into a Double Helix database, if available, and maintained by the appropriate collection management staff. The file will be forwarded to the ADCM quarterly. If the Double Helix database program is not available, copies of the approved forms will be forwarded to the ADCM quarterly. Lists of new serials acquired will be issued quarterly.

Trigger Amounts

In order to maintain an appropriate division of the Library's budget between firm orders and continuations, the following ratios have been negotiated for each fund. Following the research which goes into a selection decision, the established ratio will determine whether resources are available so that a new continuation order may be placed against the fund. If the cost of the new order when added to the current serial budget will not cause the continuation budget to exceed the determined percentage permitted for continuations, then the new serial may be ordered. The total budget will be figured annually and, consequently, the amount of money available in the "potential growth" column will change on an annual basis. Both the bibliographer and the Acquisitions Department will monitor continuation expenditures and the Acquisitions Department will notify both the bibliographer and the ADCM when the account either expends an amount equal to the "trigger figure" or is projected to expend an amount equal to the "trigger figure" prior to the completion of the fiscal year. In those cases where an account reaches the "trigger figure," the selector and bibliographer will be asked to evaluate the continuations purchased against the account and implement a plan which will return the account to a balanced position.

Account Header	Account Header	Current Budget-89/90	Potential $ Growth	Trigger Amout	Established Ratio-89/90
AFA Reference	ER5331	$10,693	$4,168	$14,861	70%
African Studies	ET023Z	$9,738	$6,533	$16,271	60%
AfroAmerican	EH123Z	$1,127	$197	$1,324	55%
Agriculture	EP783Z	$223,170	$13,445	$236,614	85%
Anthropology	EH043Z	$10,741	$10,985	$21,726	55%
Architecture/Visual Arts	EX053Z	$33,985	$24,052	$58,037	50%
Astronomy	EH663Z	$13,599	$7,790	$21,388	85%
Belknap Collection	EQ163Z	$1,761	$334	$2,096	60%
Botany	EH683Z	$19,657	$414	$20,071	85%
Business	EJ113Z	$165,319	$7,390	$172,709	75%
Cartographic Materials	EQ743Z	$408	$11,750	$12,158	45%
Chemistry	EH133Z	$126,836	$2,920	$129,756	85%
Classics	EH253Z	$4,950	$4,101	$9,051	40%
Communications	EH443Z	$7,597	$857	$8,454	55%
Criminal Justice	EH263Z	$4,197	$1,253	$5,450	55%
Documents	EQ483Z	$61,286	$8,849	$70,135	80%

Account Header	Account Number	Current Budget-89/90	Potential Growth	Trigger Amount	Established Ratio-89/90
East Asian/Arabic	EH013Z	$3,760	$1,483	$5,243	40%
Education	EH173Z	$69,227	$3,316	$72,543	55%
Education Reference	EH5333	$12,076	$3,753	$15,829	85%
Engineering	EL193Z	$188,074	$45,677	$233,751	85%
English	EH213Z	$29,400	$18,080	$47,480	40%
Florida History	ER583Z	$25,490	$642	$26,132	80%
General Serials	ES003Z	$40,805	$0	$40,805	100%
Geography	EH283Z	$12,556	$3,862	$16,417	85%
Geology	EH103Z	$33,463	$5,484	$38,947	85%
German/Slavic	EH243Z	$9,000	$11,536	$20,536	40%
H&SS Reference	ER543Z	$102,213	$11,884	$114,097	90%
Health & Human Performance	EN383Z	$16,521	$9,364	$25,885	55%
History	EH293Z	$22,570	$18,400	$40,970	55%
Humanities General	EH573Z	$16,750	$1,429	$18,179	60%
Journalism	EM313Z	$25,913	$6,969	$32,882	55%
Judaica	ER303Z	$10,081	$10,370	$20,451	60%
Latin America	ET593Z	$38,548	$30,288	$68,836	60%
Library Sciences	EU573Z	$17,940	$1,289	$19,229	90%
Linguistics	EH323Z	$7,576	$2,844	$10,420	45%
Mathematics	EH333Z	$101,306	$2,150	$103,455	85%
Music	EV343Z	$11,958	$3,905	$15,863	45%
Music Reference	ER5332	$562	$4,640	$5,203	85%
Philosophy	EH373Z	$9,442	$3,935	$13,377	40%
Physics	EH393Z	$92,879	$4,771	$97,650	85%

Account Header	Account Number	Current Budget-89/90	Potential $ Growth	Trigger Amount	Established Ratio-89/90
Political Sciences	EH403Z	$22,559	$7,719	$30,278	55%
Psychology	EH413Z	$31,770	$3,690	$35,460	60%
Religion	EH073Z	$6,450	$4,410	$10,860	40%
Residence Reading Rooms	LS513Z	$1,760	$41	$1,802	96%
Romance Languages	EH233Z	$19,800	$5,760	$25,560	40%
Sciences General	ER753Z	$76,907	$3,386	$80,293	85%
Social Sciences General	ER563Z	$72,195	$15,265	$87,460	85%
Sociology	EH433Z	$14,969	$5,375	$20,344	55%
Special Collections	EQ553Z	$467	$5,483	$5,950	20%
Statistics	EH463Z	$11,782	$4,155	$15,937	85%
Theatre	EV473Z	$1,700	$3,376	$5,076	40%
Zoology	EH093Z	$42,236	($3,691)	$38,546	85%
		---	---	---	
Totals		$1,895,769	$366,082	$2,261,852	

University of Florida Libraries
Department of Collection Management
New Continuation Report Form

Selector _____ Date _____

Title _____

Publisher _____

Editor _____

Content Note: _____

Year First Published _____ Publication Pattern _____

Price Determined By Datalinx _____ Pub. Announcement _____

Acq. Dept _____ Other _____

Price History for last 3 years

One year ago _____ Two years ago _____ Three years ago _____

Holdings in other libraries

Florida Library _____ RLG _____ Other _____

Academic Programs Primarily Benefiting

_____

Library Location _____ Fund # _____

Bibliographer Approving _____

Date of Approval _____

Databases or collected forms should be forwarded to ADCM quarterly--December 31st; Mach 31st; June 30th; September 30th.
10/31/89

Background

The preservation of the University of Toronto's library acquisitions budget in the face of chronic pressures on the University's resources has been a high priority. Beginning in 1979-80, the University has followed a policy of "budget protection" for library acquisitions. At first, the protection extended only to the central library (University of Toronto Library) on the St. George Campus. Later it was extended to the libraries on the Erindale and St. George campuses, to the major professional program libraries (Law, Education, Music, Library Science), and finally, in a simplified form, to all formally established and recognized divisional libraries. Through the financial component of the Memorandum of Agreement with the Federated Universities, their library acquisitions budgets are afforded protection as well, albeit indirectly.

The original purpose of the protection policy was twofold: to exempt library acquisitions expenses from budget reduction and to adjust those expenses annually in relation to price inflation and currency fluctuation. Thus the policy was aimed at maintaining the real purchasing power of library acquisitions budgets.

The mechanism of the protection policy worked reasonably well from 1979-80 to the end of 1984-85. Library acquisitions budgets were maintained in real terms, and in a few instances actually increased, again in real terms. But events in 1985-86 and onward caused serious perturbations throughout the entire scheme, particularly in its capability to deal with large-scale swings in comparative currency values.

Even before 1985-86, it was apparent that different collections required different degrees of protection. Although a less serious problem (because it could be solved *ad hoc*), it nevertheless was a deficiency in the scheme.

The Original Mechanism for Establishing Library Acquisitions Budgets

The original mechanism for establishing library acquisitions budgets was quite straightforward. It was based on rates of increase in actual average prices of monographs and periodicals, adjusted on a double slip-year basis. For example, the 1985-86 library acquisitions budget was set by measuring the change in actual average prices from 1982-83 to 1983-84, and applying that rate to the 1985-86 budget. The actual rates of change -- all were increases -- are shown in Table 1.

The mechanism had one major advantage and two disadvantages. They both revolved around the same factor in the budget equation. The advantage was that, over the long term, the library could be guaranteed that the acquisitions budget would be fully protected against price increases. The guarantee was based on the provision that based the annual budget adjustment on *actual* average prices. But the

disadvantages arose from the very fact that the adjustments were based on actual prices. Because actual prices could be calculated only after they had been incurred, and after the current year budget had been set, the adjustments were always two years behind (hence the so-called "double slip-year"). Reliance on actual prices required a blending of real price increases and rates of exchange between international currencies. That is very difficult to do, especially in the case of rates of exchange, which can be highly and unpredictably volatile.

The mechanism had the unintended effect of forcing the libraries' acquisitions programs into boom-bust cycles driven by the comparative strength of the Canadian dollar. (Although other currencies were stronger than the Canadian dollar, many were just as volatile.) To put the magnitude of this problem in perspective, please consider that approximately 95 per cent of the University's acquisitions are published and purchased outside Canada, and that the relative strength of the Canadian dollar has in recent years fluctuated by as much as 24 per cent and as little as one per cent in any one year.

The performance of the original mechanism led to several objectives being set for its replacement:

1. To recognize price inflation, apart from currency fluctuation, in the base budget for library acquisitions.

2. To provide for adjustment -- either upward or downward -- within the budget year as currency fluctuates.

3. To project rates of inflation in book prices, thereby overcoming the historical inertia of the "double slip-year" mechanism.

4. To locate the risk involved in expense projections at the University level. The University would become responsible for deficits and receive the benefit of surpluses that might arise from unforeseen fluctuations in prices.

5. To make long term plans and strategies possible for library acquisitions programs.

6. To determine separate budgets for each principal library collection.

7. To provide funding automatically for the maintenance of collections, and for maintaining them on the basis of book buyers' discretion.

Determination of Price Inflation

A major problem in making a transition from a retrospective to a prospective funding mechanism was the identification of an independent source of information about price inflation for books and periodicals. there are a number of published price indices (for example, Bowker and Blackwell, and Faxon). But none matches the particular mix of each library's acquisition program. Among the several libraries to which the University's protection policy applied, there is considerable variation between the origin and type of acquisitions. In the end, the best course of action was to create a composite index that would reflect the particular pattern of each acquisition program.

Historically, the University's principal sources of books and periodicals have been the United States, the United Kingdom, West Germany, and Japan. Charts 1 and 2 portray the overall geographic patterns of acquisition. Initially, the data on which these charts are based were not routinely available from every library. But they could be assembled, and were. Separate price indices are available for each of the principal sources of books and periodicals. The rate of price inflation on books and periodicals from each of these countries was weighted in proportion to the historical level of acquisition from each country respectively to produce a composite annual rate of inflation.

The results of the analysis, portrayed in Table 2, indicated that books have increased in price by an annual average of 7.8 per cent over the long-term, and about 6.5 per cent in the short term. The comparable rates for periodicals were 10.9 per cent and 9.8 per cent respectively. Although not central to the methodology, a comparison was made of the domestic rate of inflation for each country generally with its rate of inflation for the price of books and periodicals. The rates in each case were different, and were not correlated in any statistically significant way.

On the basis of these data and analysis, an acquisitions budget can be established annually using a cumulative, composite price index for books and periodicals, with 1979-80 as the base year because that was the year in which the policy of protection was introduced. Up to 1983-84, the long term rate of inflation is the basis of indexation. For each subsequent year, the price analyses published by Bowker and Blackwell form the basis of indexation. In practice, this means that for 1987-88 indexation will be based on the most recent rates of inflation from 1984-85 onward. For 1988-89, as new data become available, the index will be revised to reflect the then current rates of inflation. The proposed inflation index is displayed by Table 3.

The important conceptual dimension in this approach is that in annual inflation "ratchet" is replaced by a genuine index. The critical result is that whatever inaccuracies there may be in projected rates will be self-correcting over time.

Determination of Currency Adjustment

Since the introduction of the budget protection policy in 1979-80, the Canadian dollar has fluctuated dramatically against the currencies of the nations from which most of the University's books and periodicals are purchased. (Please see Charts 2 and 3). Just as a composite index was devised for determining and projecting rates of inflation, a composite value was devised to express the real purchasing power of the Canadian library acquisitions dollar in international markets.

Although the Canadian dollar has steadily declined vis a vis the U.S. Dollar, it had been gaining almost as steadily against the Pound and Deutschmark, with the combined effect of gains largely offsetting losses, as displayed by Chart 4. In September, 1985, the Canadian dollar began to deteriorate rapidly against the Yen, the Pound, and the Deutschmark, thereby removing the buffer that had been available to compensate for the weakness of the Canadian dollar in relation to the U.S. dollar. The result was a dramatic and sudden reduction in the purchasing power of the library acquisitions budget for 1985-86.

That reduction exposed the inadequacy of the original method by which library acquisitions budgets were set. Because of the reliance on actual prices and, inexcrably, on the "double slip year", the original mechanism could not react quickly to the rapid changes in the dollar's purchasing power. For many other categories of expense in the University, such a delay in adjustment could be managed. But in the case of library acquisitions, a failure to adjust almost immediately can have an irrevocable harmful effect. For example, a library cannot wait two years for the funding necessary to keep up subscriptions to periodicals.

The first step in devising a more responsible mechanism was to make an assumption about the future strength of the Canadian dollar vis a vis other currencies, principally the U.S. dollar. Although some small gains may be expected in the Canadian dollar against the U.S. dollar in the near term, there are no predictions of major improvement over the long term. The uncertain outcome of free-trade negotiations between the United States and Canada make virtually any projection problematic. The possibility that Japan and West German may devalue their currencies introduces further uncertainty.

These uncertainties notwithstanding or perhaps because of them, a benchmark had to be established for the value of each currency. The benchmark in turn will be used as a basis for making timely adjustments in library acquisitions budgets as currencies vary. These adjustments will not necessarily be permanent, but will be aimed at maintaining the real value of a given library acquisitions budget until the next budget cycle.

The base library acquisitions budgets for 1987-88 will be established using the following benchmark values of major currencies:

Japanese Yen	$ 0.0057
British Pound	2.1600
Deutschmark	0.5500
U.S. Dollar	1.3790

When measured against 1979-80 funding levels, these benchmarks produce a 5.43 per cent increase in base budget requirements for books and an 8.44 per cent increase for periodicals in UTL. (Figures for other libraries are similar to these.)

Once the 1987-88 budgets are set on this basis, actual exchange rates will be reviewed and measured against the benchmarks on approximately a quarterly basis. Library acquisitions budgets will be adjusted on the basis of those reviews and measured. These will not be base budget adjustments. Not all will be increments. Depending on the direction of the fluctuations in currency values, the adjustments could be downward as well. In any case, as long as the proposed mechanism is in place, there will be no further adjustments to base budgets for library acquisitions.

The proposal obviously entails an element of risk because the benchmark value of the Canadian dollar may be overestimated, or the benchmark values of other currencies may be underestimated. Using historical averages and the extremes of some economic projections, one might expect the degree of risk to range within $200,000 annually. That is a risk that the University should be prepared to take, for two principal reasons:

i. Assuming that the protection policy will be carried out in some way, its nominal costs will be the same whether they are met on a prospective basis or a retrospective basis. The prospective approach causes much less perturbation in library acquisitions programs, and may reduce some costs by minimizing the need for retrospective acquisitions.

ii. Adjustments to base budgets can be added or recovered on comparatively short cycles as the demands for them fluctuate. A close and timely match between funding and the need for it can produce savings, improve cash flow, and avoid a budgetary "ratchet."

Retrospective (Discretionary Acquisitions)

The concept of retrospective buying varies from library to library, and has been strongly influenced by previous levels of funding. The "boom-bust" character of the original funding scheme sometimes created demands for retrospective buying which resulted only from the timing of budget adjustments. These demands, on an accrual basis, were temporary but often established patterns of spending that were so irrevocable as to be permanent.

However defined, retrospective buying has varied considerably, as summarized in Table 5. As Chart 4 indicates the greater part of this variation is related virtually directly to the performance of the Canadian dollar. When it has performed better than expected, surpluses were created which were channeled to retrospective purchases. When it performed below expected levels, the reverse was the case.

If funding for the maintenance of existing collections, including normal rates of acquisition at book buyers' discretion, can be stabilized and guaranteed, the need for retrospective buying should decrease as fewer annual shortfalls arise for which retrospective adjustments must be made. In that case, it should become possible to develop planned programs of retrospective acquisition which are not opportunistic and not designed to serve largely as contingency funds.

The new proposal makes no automatic provision for retrospective acquisitions, except to remove the necessity of retrospective buying as a form of contingency. Where the previous funding mechanism has created surpluses that were used for retrospective acquisitions, they will be left in the base budgets for library acquisition. Table 5 displays the composition of overall library acquisitions budgets from 1979-80 to 1984-85 for the central library. The de facto balance between discretionary and non-discretionary spending has been about 20 per cent, 80 per cent respectively.

That distinction--"discretionary and non-discretionary"--seems realistic in terms of the new proposal as it applies to retrospective acquisitions. The initial budget allocation for the central library, which has responsibility for retrospective buying in several divisional libraries as well, is shown in Table 7. Of that budget--$5.8 million--$900,000 (19 per cent) can be assigned to a retrospective buying program.

Further funding for retrospective acquisition will not be provided automatically and is not incorporated in the new funding formula. Submissions for retrospective acquisitions programs beyond those already budget should be submitted by the Chief Librarian, Deans, or Principals to their respective Vice-Provost as part of the general budget process. These submissions, one would expect, will be for "one time only" supplements to the budgets.

Establishing Library Acquisitions Budgets for 1987-88

For each of the libraries listed here, the first step in establishing library acquisitions budgets for 1987-88 is the determination of the 1979-80 base spending for periodicals and current monographs, excluding retrospective acquisitions. Table 6 portrays actual expenditures for 1979-80 through 1984-85, and converts those expenditures to constant 1979-80 dollars using the proposed price and currency indices. Table 6 refers to the University of Toronto Library. Comparable tables can be constructed for each divisional library that is covered by the protection mechanism.

The adjustment to constant 1979-80 dollars produces an average expenditure over the ensuing six years of $1.3 million for periodicals and $1.2 million for current monographs. These base amounts are then adjusted by the price index and the currency provision, thus producing 1987-88 funding requirements of $3.1 million for periodicals and $2.2 million for current monographs, as shown in Table 7.

The libraries covered by this mechanism are:

University of Toronto Library
Scarborough College Library
Erindale College Library
Faculty of Law Library
Faculty of Education Library
Faculty of Library and Information Science Library
Faculty of Music Library

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TABLE 1

TABLE 1 - ACTUAL INCREASES TO ACQUISITIONS BUDGET

	INDEX USED IN BUDGET ALLOCATION					
	MONOGRAPHS			PERIODICALS		
	AVERAGE PRICE	ANNUAL INCREASE	PRICE INDEX	AVERAGE PRICE	ANNUAL INCREASE	PRICE INDEX
1978.79	$15.28			$56.19		
1979.80	$17.47	14.33%	100.00%	$63.17	12.42%	100.00%
1980.81	$17.73	1.49%	101.49%	$68.88	9.04%	109.04%
1981.82	$18.09	2.03%	103.55%	$75.75	9.97%	119.91%
1982.83	$18.20	0.61%	104.18%	$78.71	3.91%	124.60%
1983.84	$18.53	1.81%	106.07%	$83.12	5.60%	131.58%
1984.85	$19.32	4.26%	110.59%	$92.37	11.13%	146.22%

ANALYSIS OF LIBRARY EXPENDITURE WITH FURTHER RECATEGORIZATION

ACTUAL EXPENSES PLUS ENCUMBRANCES	1979/80	1980/81	1981/82	1982/83	1983/84	1984/85	TOTAL	PCT OF TOTAL
LIBRARIAN'S RESERVE	229,932	114,603	682,684	407,618	600,592	136,619	2,172,048	9.27%
LIBRARIAN'S RESERVE - DRAKE	0	24,355	24,850	25,000	25,000	25,000	124,205	0.53%
CURRENT BOOKS	900,100	1,010,600	915,447	1,137,321	1,124,065	1,234,249	6,321,782	26.98%
RESEARCH BOOKS:								
LOCAL LIBRARIES	38,267	39,447	45,761	50,317	49,556	63,233	286,581	1.22%
GENERAL CENTRAL	75,671	76,741	79,606	101,809	99,311	136,219	569,357	2.43%
RETROSPECTVE	136,251	148,461	159,052	175,401	181,061	224,568	1,024,794	4.37%
CONTINUATIONS	212,914	212,259	204,811	241,388	213,649	278,306	1,363,327	5.82%
SERIALS:								
RENEWALS	1,143,015	1,293,980	1,409,967	1,562,526	1,617,931	1,851,899	8,879,320	37.90%
NEW SUBSCRIPTIONS	11,451	11,929	14,985	17,637	37,281	27,413	120,596	0.51%
DUPLICATES	199,707	244,110	257,015	258,035	252,925	303,488	1,515,280	6.47%
SIGMUND SAMUEL DUPLICATE BOOKS	133,740	129,769	123,550	129,644	157,828	164,704	839,235	3.58%
SIGMUND SAMUEL DUPLICATE SERIALS	8,382	8,809	8,403	11,987	11,872	14,219	63,672	0.27%
EXPENDITURE FROM DEPOSIT ACCOUNTS	19,142	24,413	27,902	28,718	23,814	25,800	149,769	0.64%
	3,108,572	3,339,476	3,953,933	4,147,403	4,394,885	4,485,717	23,429,986	
GIFTS	66,512	98,085	147,479	195,104	136,437	159,538		

TABLE 6 -- HISTORICAL EXPENDITURES EXPRESSED IN CONSTANT DOLLARS

YEAR	ADJUSTED FOR CURRENCY & INFLATION		
	BOOKS	PERIODICALS	TOTAL
1979.80	1,602,585	1,362,555	2,965,140
1980.81	1,485,401	1,328,126	2,813,527
1981.82	1,708,916	1,322,516	3,031,432
1982.83	1,771,665	1,348,665	3,120,330
1983.84	1,840,430	1,299,846	3,140,276
1984.85	1,548,653	1,320,191	2,868,844
1985.86			0
1986.87	AVERAGE:	1,330,317	

YEAR	ACTUAL DOLLARS			CONSTANT DOLLARS		
	TOTAL MONOGRAPHS	RETROSPECTIVE ACQUISITIONS	CURRENT ACQUISITIONS	TOTAL MONOGRAPHIC	RETROSPECTIVE ACQUISITIONS	CURRENT ACQUISITIONS
1979.80	1,602,585			1,602,585		
1980.81	1,712,311			1,485,401		
1981.82	2,050,987	737,000	1,313,987	1,708,916	614,081	1,094,836
1982.83	2,200,506	611,000	1,589,506	1,771,665	491,927	1,279,738
1983.84	2,370,782	790,000	1,580,782	1,840,430	613,274	1,227,156
1984.85	2,152,378	340,000	1,812,378	1,548,653	244,633	1,304,020
1985.86						
1986.87				AVERAGE:		1,226,437

TABLE 7

BUDGET PROPOSAL FOR 1987-88

1979-80 BUDGET ADJUSTED CUMULATIVELY FOR INFLATION	BOOKS	PERIODICALS	TOTAL
1979.80	1,300,000	1,300,000	2,600,000
1980.81	1,401,660	1,441,700	2,843,360
1981.82	1,511,270	1,598,845	3,110,115
1982.83	1,629,451	1,773,119	3,402,571
1983.84	1,756,874	1,966,389	3,723,264
1984.85	1,870,895	2,158,899	4,029,794
1985.86	1,992,316	2,370,255	4,362,572
1986.87	2,121,618	2,602,303	4,723,921
1987.88 REQUIREMENT EXCLUDING CURRENCY	2,259,311	2,857,069	5,116,379
BASE CURRENCY ADJUSTMENT	5.43%	8.44%	
	122,681	241,137	363,817
1987-88 BUDGET INCLUDING CURRENCY	2,381,991	3,098,205	5,480,197
ROUNDED BUDGET	2,400,000	3,100,000	5,500,000
PLUS: RETROSPECTIVE PURCHASES			300,000
			5,800,000

FOREIGN PURCHASES BY CURRENCY TYPE

BOOK PURCHASES

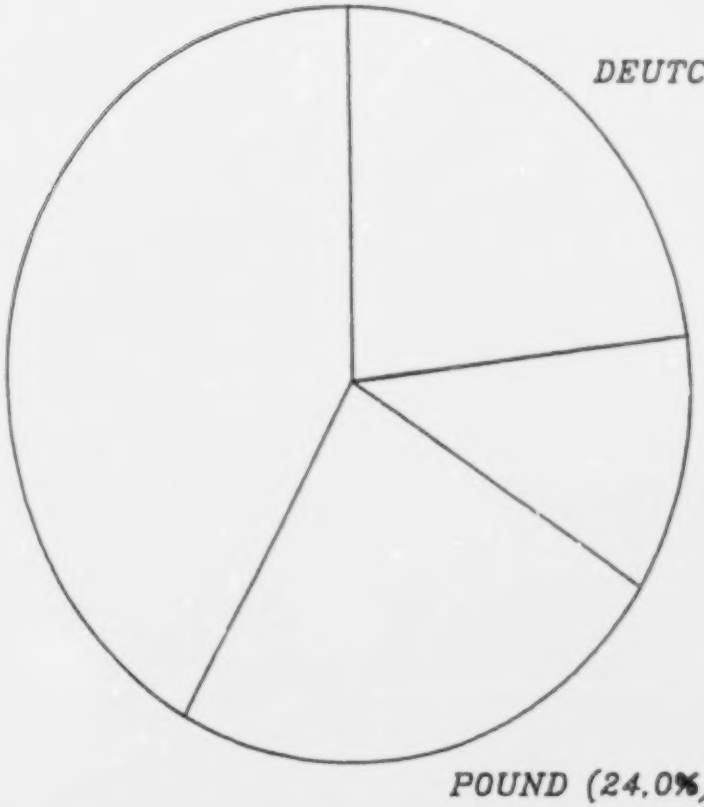

CHART 1

FOREIGN PURCHASES BY CURRENCY TYPE

PERIODICALS

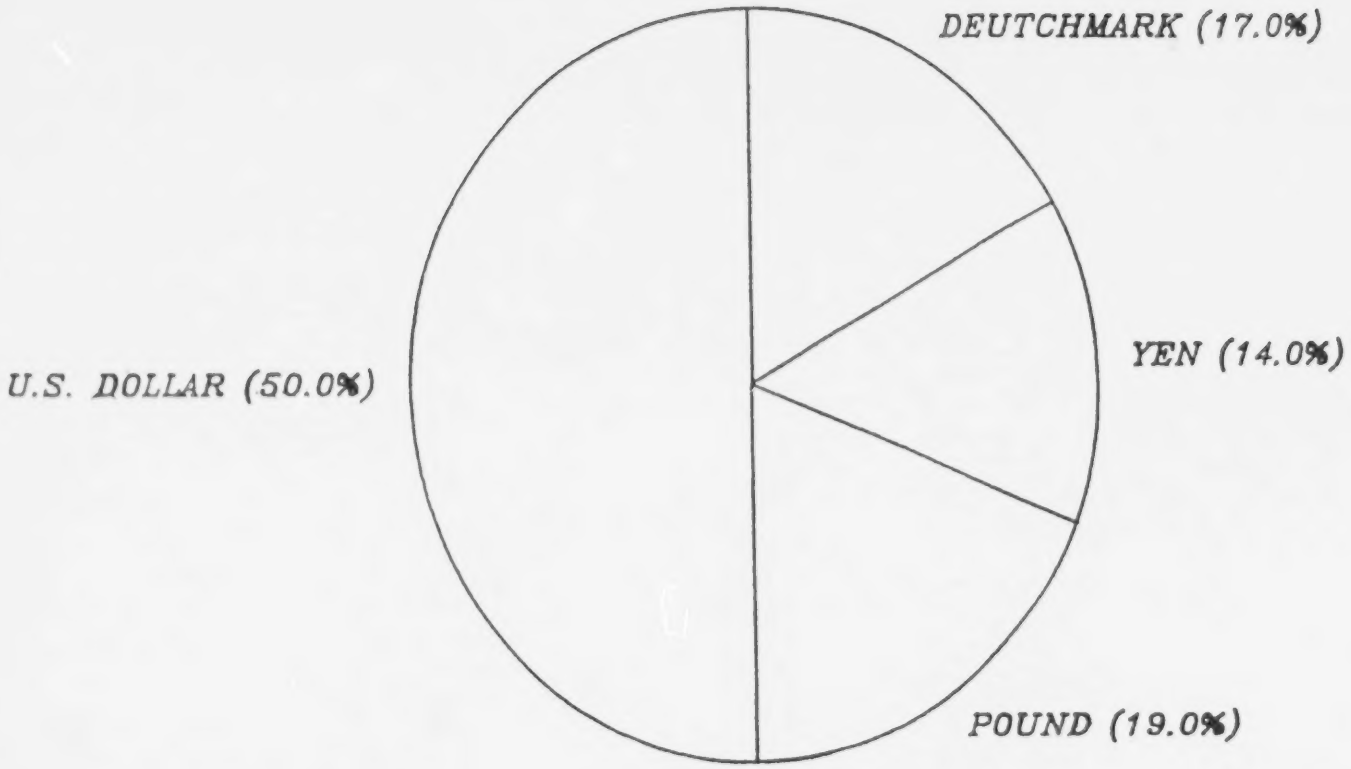

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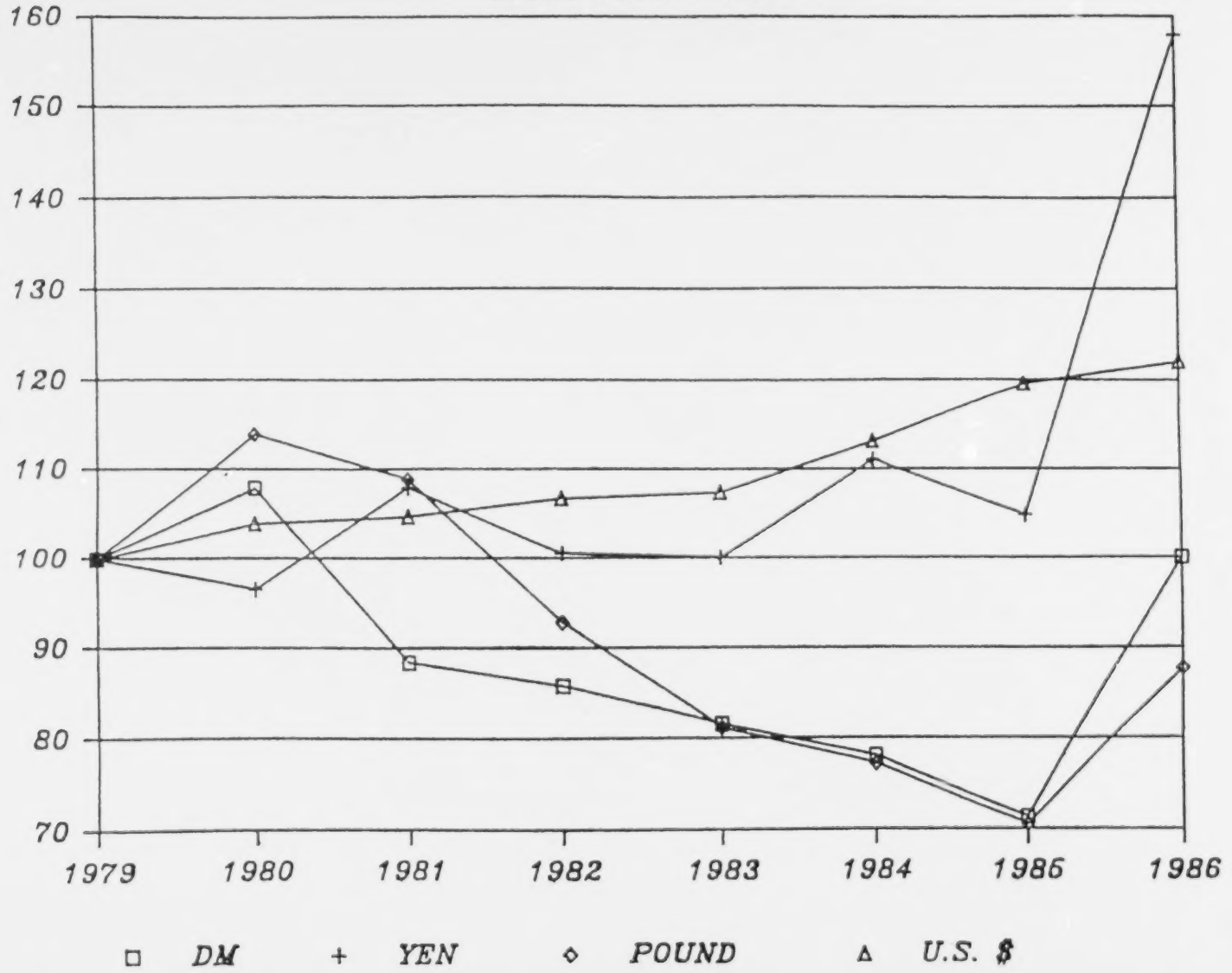
CHART 2

41

42

INDEX OF FOREIGN CURRENCY COSTS

APRIL 1979 = 100



COMPOSITE PERFORMANCE OF THE CANADIAN $

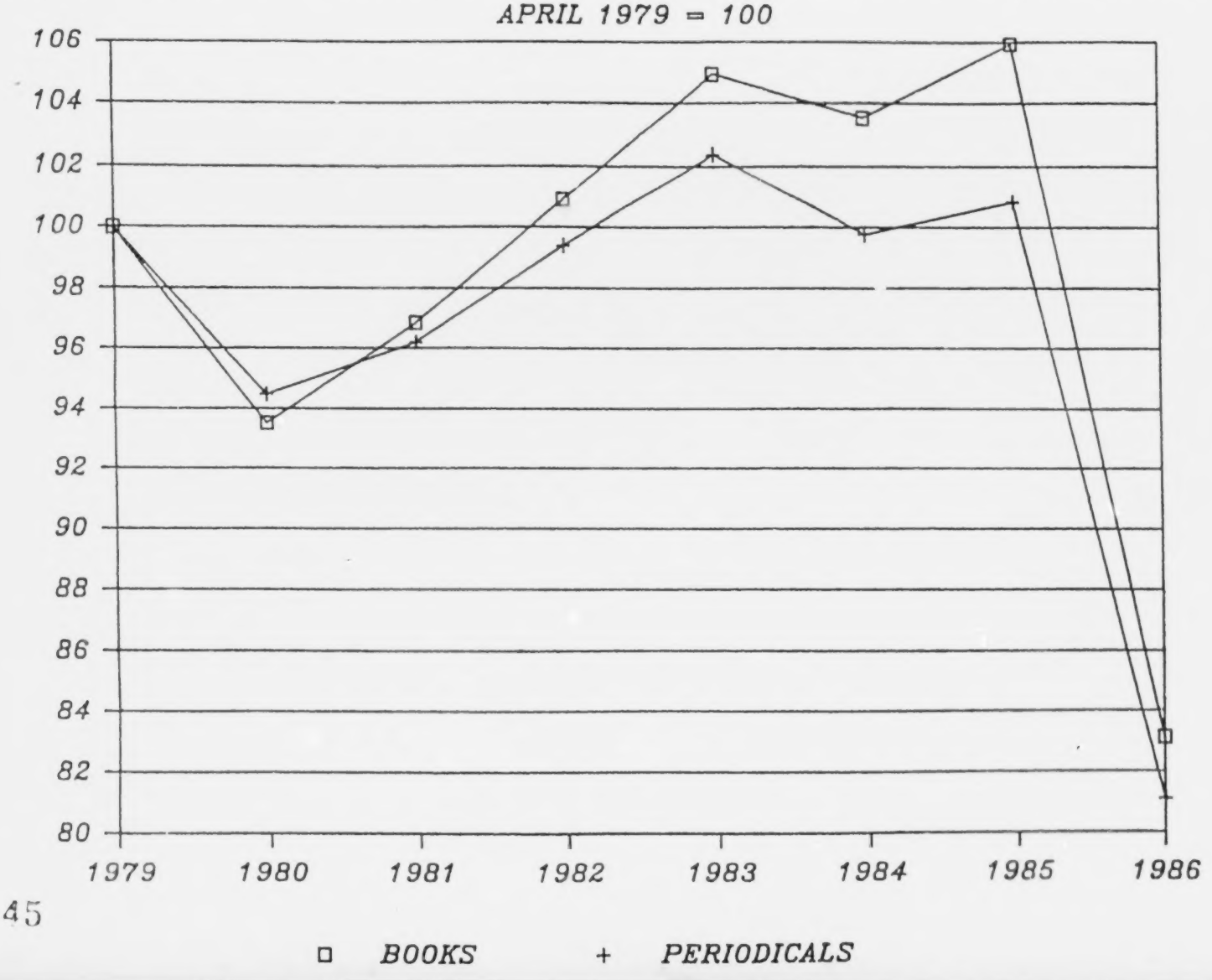


CHART 4

MATERIALS SELECTION POLICIES

BRIGHAM YOUNG UNIVERSITY
Harold B. Lee Library
Collection Development Division

Revision 3/13/90

COLLECTION POLICY GOVERNING MACHINE READABLE DATA FILES

I. POLICY OBJECTIVES

A. Introduction

This policy has been created by the Personal Computer Committee (PCC). It is aimed at providing guidance to BYU's subject selectors in acquiring machine readable data files (MRDFs) for the BYU collections, whether by purchase, gift, lease, network, deposited, or other cooperative arrangements. Because technology and information access is changing so rapidly, it is expected that these guidelines will be under continuing review by appropriate groups in the Library. They are meant to provide a reasonable collection development framework, and to identify problems in related areas which need to be addressed.

B. Definition

AACR2 defines a machine readable data file (MRDF) as "a body of information coded by methods that require the use of a machine (typically a computer) for processing." Present formats include magnetic tape, floppy and hard disks, compact discs and video discs. Such files may be catagorized by the following types:

1) bibliographic files -- contain information which leads the user to material, usually textual, rather than being an end in themselves. They are similar in use to library catalogs or to printed abstracting and indexing services.

2) textual/numeric/graphic files or non-bibliographic files -- analogous to conventional library materials in that they are an end in themselves; that is, they contain full texts, numeric or graphic data. Such files may require programming or software and sophisticated knowledge in order to obtain and manipulate the information contained in them.

3) instructional software -- these files are programs which instruct or guide the user through a series of concepts, processes, or models. Such programs may be interactive, requiring the user to input data as part of the learning process. In most

instances, however, the input data is not retained in a storage mechanism after the termination of the session. Such programs include, for example, programmed learning texts; modeling and simulation programs; and writing and composition aids.

4) applications software -- programs which are intended to manipulate and/or organize the textual or numeric input of the user. Examples of such programs are word processing and spreadsheet programs; database managers; and statistical analysis programs.

C. Selection Responsibility and Constraints

MRDFs on a given subject are selected for acquisition or subscription by the subject specialists currently responsible for that field. Acquiring such files is a legitimate extension of traditional collecting goals. MRDFs [illegible] special problems of cost, bibliographic control. [illegible] These materials apply as well to MRDFs; therefore, the Library reserves the right to reject gifts of MRDFs if they do not fall within collection development guidelines. Any MRDFs which are University records fall under the control of the University Archives.

D. Scope

The criteria set forth below will govern the four above-mentioned types of data files: bibliographic, textual/numeric/graphic, instructional software, and applications software. The policy covers use of funds for acquiring data files regardless of funding sources.

E. General Collection-Related Criteria

Machine readable data files considered for acquisition by selectors should:

-- follow current collecting parameters already in place as represented by the currently approved collection development policy statements, individual department policies and other related documents

-- when appropriate, this policy can be used as an appendix to other collection development policy statements;

-- represent materials useful and important to a

significant segment of the Library's user community, and reflect current academic needs;

-- be available in formats currently accessible by appropriate hardware already in the Library, being purchased by the Library, or on the campus, however, care should be taken when choosing formats to consider the usability (due to format) of the data in the long term as well (10 years or more);

-- be an enhancement and enrichment of current collections, or should provide improved access to information if already available in some other format;

-- be substituted for printed information with extreme caution because of the current volatility of the information industry, the limited number of simultaneous users which can presently be accommodated, and the requirements for staff assistance;

-- be evaluated in light of other potential acquisitions, and weighed against other uses of book monies;

-- reflect the excellence, comprehensiveness, and authoritativeness expected of materials in other formats;

-- have available adequate documentation;

-- take into account the amount of staff time required to provide adequate use of the database;

-- be broadly accessible under the strictures of current copyright and licensing laws.

II. IMPLEMENTATION

A. Bibliographic and Non-Bibliographic Machine Readable Data Files

Bibliographic and non-bibliographic data files are essential to the Library's mission in the electronic information age. The Library has been providing access to information in machine readable formats for a number of years through commercial database vendors. The next stage of MRDF access, in addition to online access through vendors, is to acquire actual data files in various electronic formats, e.g., computer tapes or optical discs. These MRDFs may be produced by a variety of organizations, including Brigham Young University, state and federal government agencies, associations, and commercial publishers. The Library is potentially interested in all types of machine readable data

files as long as they meet the selection criteria set forth in the MRDF policy statement.

1. The current state of technology offers access to computerized data files through three media:

   a) online through commercial vendors. The library already provides access to hundreds of online data files through several commercial vendors (DIALOG, BRS, STN, etc.) although the direct costs of this service are presently paid for by the patrons.

   b) computer tapes and discs. These may be purchased or leased from a variety of producers and mounted on local computers. (At the present time, the Library has limited experience with this format -- LC tapes.)

   c) optical discs. This electronic format is growing quickly with many new files becoming available. (At the present time, the Library is entering this field aggressively with many CD-ROM bibliographic tools available.)

2. Strategies for implementing improved access to machine readable data files on the BYU campus include the following:

   a) developing and maintaining a knowledge of data files, in whatever electronic format. Each Library selector should be familiar with major data files available in his/her selection area(s) both on and off the BYU campus and be able to make referrals to individuals or organizations that may provide access.

   b) offering access to data files in optical disc formats which are becoming available on the market in a variety of subject areas, within budgetary and staff constraints and as appropriate. Selectors should determine needs and make recommendations regarding funding arrangements (book funds, joint ventures with departments, grants, cost recovery from users, etc.)

   c) training staff to be available to provide basic instruction.

   d) coordinating acquisition of computer tapes and discs requiring mainframe support with the Library Automations Department and other involved campus departments.

e) evaluating costs of databases available online through commercial and other vendors to determine whether it is more economical to purchase or lease the database or to continue to use it through the vendor and financially support the use of these MRDFs by university personnel and students.

B. Instructional and General Applications Software

1. Scope

The instructional and general applications software covered by this policy includes materials purchased for inclusion in the collections of the Library from commercial producers, as well as those acquired as gifts or at minimal cost ("freeware" or "shareware"). The policy does not include software purchased exclusively for staff use.

2. Collecting Responsibility

a. Instructional Software

(1) Primary Collecting/Collections

The Learning Resource Center (LRC) is the primary unit in the Library involved in acquiring (with input from the appropriate subject specialists), housing, and providing access to a collection of instructional software. The LRC should also coordinate its efforts with the Library Automations Department and the Computer Applications Librarian -- drawing on their expertise to it fulfill its responsibility with regard to MRDFs.

The LRC is responsible for developing a core collection of instructional software to support curricular and study needs on campus, with particular emphasis on undergraduate curricula. Purchases for this basic level collection are made on LRC book/materials funds, supplemental University appropriations, subject book/material funds, or whatever funds can be obtained.

Whenever possible, the LRC is also responsible for maintaining the master copies of all the other instructional software in the library. Two notable exclusions to this practice are the production software programs in the Copy Center computer lab and the production programs used in

library offices.

The collection of instructional software supporting more specialized subject interests is the responsibility of the appropriate Library selector for the subject area concerned. These materials should be purchased on the corresponding Library book fund, and may be housed in the LRC or in the unit which funds the purchase, if supporting hardware is available. Similarly, software which accompanies printed works acquired for various Library collections may be housed in either the LRC or the funding unit, if the appropriate access can be provided to these materials and if they can be effectively conserved by the unit.

(2) Course Reserve Software

Access to course reserve materials in machine readable form is currently also the reaponsibility of the LRC.

b. General Applications Software

Library units may purchase general applications software for public use only insofar as the programs support the general collection development aims of the unit, and supporting hardware is available to make these materials publicly available. Because of the frequently high cost of popular applications software and the high investment of staff time and expertise required to monitor use of such packages, this type of program will not generally be collected by the LRC. In the case of some applications packages such as word processors and spreadsheet programs, general public access is currently provided by established campus facilities.

c. Documentation

Complete documentation for the software acquired should be maintained by the unit which houses the materials.

University of California,
Berkeley

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July 31, 1987

To: Department Heads
All Selectors
Collection Management and Development Committee

From: Sheila Dowd

Subj: Collection Policy Governing Machine Readable Data Files

The attached "Collection Policy Governing Machine Readable Data Files" (July 20, 1987) is a first edition, a new policy statement for this relatively new collecting area. It was drafted by the Task Force on Machine Readable Data Files. This group was appointed by the Collection Management and Development Committee and includes: Alison Howard, Chair; Patricia Abalos; Gary Handman; Barbara Kornstein; and Milt Ternberg. The policy has been reviewed by the Department Heads and the Administrative Group, as well as by many other staff, and useful comments and criticism have been received from all these quarters and incorporated into the policy statement. I wish to take this opportunity to thank all who worked on this important document, and especially the Task Force, whose initial work has in substance weathered all the review phases to survive as the essence of the policy statement. Such survival is by no means typical of drafts for brand new documents, and I think it is a tribute to the Task Force's lucidity and good sense.

This policy should join the other revised policy statements which were distributed on October 16, 1986 (Cartographic Materials, 4/15/83; Newspapers, 6/29/85; Audiovisual Media, 10/15/86) , in the binder or file I trust you are maintaining for Collection Development Policy Statement revisions. More revisions will be coming down the pike -- be prepared!

cc: Task Force on Machine Readable Data Files

UNIVERSITY OF CALIFORNIA—Letterhead for interdepartmental use

University of California, Berkeley, Library July 20, 1987

COLLECTION POLICY GOVERNING MACHINE READABLE DATA FILES

I. POLICY OBJECTIVES

A. Introduction

This policy has been created by the Task Force on Machine Readable Data Files (MRDFs) in response to the request of the Collection Management and Development Committee. It is aimed at providing guidance to Berkeley's selectors in acquiring MRDFs for the Berkeley collections, whether by purchase, gift, lease, network, or other cooperative arrangements. Because technology and information access is changing so rapidly, it is expected that these guidelines will be under continuing review by appropriate groups in the Library. They are meant to provide a reasonable collection development framework for the next five years, and to identify problems in related areas which need to be addressed.

B. Definition

AACR2 defines a machine readable data file as "a body of information coded by methods that require the use of a machine (typically a computer) for processing." Present formats include magnetic tape, floppy and hard disks, compact discs and video disks. Such files may be categorized by the following types:

1) bibliographic files -- these files contain information which leads the user to material, usually textual, rather than being an end in themselves. They are similar in use to library catalogs or to printed abstracting and indexing services.

2) textual/numeric/graphic files -- otherwise known as non-bibliographic files, these are analogous to conventional library materials in that they are an end in themselves; that is, they contain full texts or numeric or graphic data. Such files may require programming or software and sophisticated knowledge in order to obtain and manipulate the information contained in them.

3) instructional software -- these files are programs which instruct or guide the user through a series of concepts, processes, or models. Such programs may be interactive, requiring the user to input data as part of the learning process. In most instances, however, the input data is not retained in a storage mechanism after the termination of the session. Such programs include, for example, programmed learning texts; modeling and simulation programs; and writing and composition aids.

4) Applications software -- these files are programs which are intended to manipulate and/or organize the textual or numeric input of the user. Examples of such programs are word processing and spreadsheet programs; database managers; and statistical analysis programs.

C. Selection Responsibility and Constraints

MRDFs are selected for acquisition or subscription by the language and subject specialists currently responsible for all other formats being added to Berkeley's collections. Acquiring such files is a legitimate extension of traditional collecting goals. Realistically, however, MRDFs present special problems of cost, bibliographic control, accessibility, acquisition, storage and preservation. These considerations will require more intensive investigation by appropriate Library groups. Policies governing gift materials apply as well to MRDFs; therefore, the Library reserves the right to limit its permanent collections to those items selected for the scholarly needs of the campus community.

D. Scope

The criteria set forth below will govern the four above-mentioned types of data file: bibliographic, textual/numeric/graphic, instructional software, and applications software. The policy covers use of funds for acquiring data files regardless of funding source.

E. General Collection-Related Criteria

Machine readable data files considered for acquisition by selectors should:

-- avoid duplication of other campus resources;

-- follow current collecting parameters already in place as represented by the Collection Development Policy Statement, individual department statements and other related documents;

- represent materials useful and important to a significant segment of the Library's user community, and reflect current academic needs;

-- be available in formats currently accessible by appropriate hardware already in the Library or on the campus;

-- be an enhancement and enrichment of current collections, or should provide improved access to information if already available in some other format;

-- be substituted for printed information with extreme caution because of the current volatility of the information industry, the limited number of simultaneous users which can presently be accommodated, and the requirements for staff assistance;

-- not be acquired when the sole purpose for such acquisition is to provide a depository or custodial function -- collection needs must be the paramount consideration;

-- be evaluated in light of other potential acquisitions, and weighed against other uses of book monies;

-- reflect the excellence, comprehensiveness, and authoritativeness expected of materials in other formats;

-- have available adequate documentation;

-- take into account the amount of staff time required to provide adequate use of the database;

-- be broadly accessible under the strictures of current copyright and licensing laws.

II. IMPLEMENTATION

A. Bibliographic and Non-Bibliographic Machine Readable Data Files

Bibliographic and non-bibliographic data files are essential to the Library's mission in the electronic information age. The Library has been providing access to information in machine readable formats for over a decade through commercial database vendors. The next stage of MRDF access is to acquire actual data files in various electronic formats, e.g., computer tapes or optical disks. These MRDFs may be produced by a variety of organizations, including the University of California, state and federal government agencies, associations, and commercial publishers. The Library is potentially interested in all types of machine readable data files as long as they meet the selection criteria set forth in the MRDF policy statement.

The current state of technology offers access to computerized data files through three media:

1) online through commercial vendors. The Library already provides access to hundreds of online data files through several commercial vendors (DIALOG, BRS, Wilsonline, etc.)

2) computer tapes and disks. These may be purchased or leased from a variety of producers and mounted on local mainframe computers. (At the present time, the Library has no experience with this format, although it has the capability of accessing computers in the Library and in Evans Hall.)

3) optical disks. This electronic format is becoming available for purchase, and some campus libraries have begun to test and acquire products.

Strategies for implementing improved access to machine readable data files on the Berkeley campus include the following:

1) developing and maintaining a knowledge of data files, in whatever electronic format. Each Library selector should be familiar with major data files in his/her selection area(s) and be able to make referrals to individuals or organizations that may provide access.

2) offering access to data files in optical disk formats which are becoming available on the market in a variety of subject areas, within budgetary and staff constraints and as appropriate. Selectors should determine needs and make recommendations regarding funding arrangements (book funds, joint ventures with departments, grants, cost recovery from users, etc.).

3) designating several campus libraries as initial user sites for MRDFs, since prohibitive hardware costs may prevent many Library units from buying the equipment necessary to access MRDFs in their collection areas.

4) training staff to be available to provide basic instruction.

5) coordinating acquisition of computer tapes and disks requiring mainframe support with the Academic Computing Center, Division of Library Automation, or Library Systems Office.

6) evaluating costs of databases available online through commercial and other vendors to determine whether it is more economical to purchase or lease the database or to continue to use it through the vendor.

B. Instructional and General Applications Software

1. Scope

The instructional and general applications software covered by this policy includes materials purchased for inclusion in the collections of the Library from commercial producers, as well as those acquired as gifts or at minimal cost ("freeware" or "shareware"). The policy does not include software purchased exclusively for staff use.

will not initially be collected by MRC. In the case of some applications packages such as word processors and spreadsheet programs, general public access is currently provided by established campus facilities, particularly the Tolman Microcomputer Facility. As the MRC microcomputer services develop and relations with other campus computing centers are better defined, this general policy may be revised.

Documentation

Complete documentation for the software acquired should be maintained by the unit which houses the materials. In addition, MRC will maintain a collection of standard reference works and vendor catalogs covering these materials. These resources are available for use by selectors and the general public.

Task Force members: Alison Howard, Optometry (Chair).
Patricia A. Abalos, Collection Development/Reference
Gary Handman, Media Resources Center
Barbara Kornstein, Education/Psychology
Milt Ternberg, Business/Social Science

University of California, Berkeley, Library July 20, 1987

2. Collecting Responsibility

a. Instructional Software

(1) Primary Collecting/Collections

The Media Resources Center (MRC) is currently the primary unit in the Library system involved in acquiring, housing, and providing access to a collection of instructional software.

The MRC is responsible for developing a core collection of software to support curricular and study needs on campus, with particular emphasis on undergraduate curricula. Purchases for this basic level collection are made on MRC materials funds.

All fields of study covered by Moffitt's book/serial collection policy are appropriate for the MRC's software collection. Preference is given to software which is of interest to a broad audience, rather than to more specialized materials.

The collection of instructional software supporting more specialized subject interests is the responsibility of the appropriate Library selector for the subject area concerned. These materials should be purchased on the corresponding Library book fund, and may be housed in MRC or in the unit which funds the purchase, if supporting hardware is available. Similarly, software which accompanies printed works acquired for various Library collections may be housed in either the MRC or in the funding unit, if the appropriate public access can be provided to these materials and if they can be effectively conserved by the unit.

(2) Course Reserve Software

Access to course reserve materials in machine readable form is currently provided by several non-Library units on campus, including the Tolman Microcomputer Facility and various departmental computing facilities such as those administered by the English Department and School of Business Administration. To the extent allowed by staff and hardware resources and license requirements, MRC will act as a supplementary courseware reserve unit.

b. General Applications Software

Library units may purchase general applications software for public use only insofar as the programs support the general collection development aims of the unit, and supporting hardware is available to make these materials publicly available. These materials should not be purchased on the unit's monograph or serial book funds. Because of the frequently high cost of popular applications software and the high investment of staff time and expertise required to monitor use of such packages, this type of program

DATA SERVICES

General Policy

The University Library provides access to bibliographic and non-bibliographic databases in electronic formats. The items and sources cited in the databases may or may not be owned by the Library.

Guidelines

A. **Databases**

1. Some databases are purchased or leased for the collections in formats such as CD-ROMs and datatapes.

2. The UC libraries collectively provide access to electronic databases, such as MEDLINE and CURRENT CONTENTS, via MELVYL™.

3. As part of the Government Depository Program, publications such as the United States Census are received as CD-ROMs.

4. Other databases are consulted via a remote commercial service or vendor such as DIALOG, BRS, or VU/TEXT.

5. Additional types of computerized data services, such as social science data archives or a campus automated information retrieval system may be considered by the Library in cooperation with other campus units. Plans for such added services will be based on cost analyses, including indirect costs and related staffing requirements, on the Library's collection development policy levels, on its fiscal capabilities, and on the ability of all interested campus units to develop policy and procedures for shared, cooperative funding and operation.

B. **Support materials**

1. The Library collects appropriate materials, such as manuals, thesauri, and code books, in support of data services for users and staff.

C. **Access**

1. Whenever it is available, access to materials published in electronic formats is provided to users.

2. Access to databases on CD-ROMs is restricted to UCI faculty, staff, and students.

3. When direct patron access is not available, reference librarians access the relevant machine-readable databases to produce a bibliography or obtain other information tailored to the individual's request.

4. In some cases, users pay for the compilation of the information. The cost is based on a formula, including the category of patron and the vendor fees.

NONBIBLIOGRAPHIC MACHINE-READABLE DATA FILES

General Policy

Nonbibliographic machine-readable data files, or NMRDF, contain numeric, graphic, or textual data on reels, cassettes, tape, or on floppy or compact disks. The library acquires NMRDF to support the instructional and research needs of the UCI faculty, students and staff. Toward that end, it maintains memberships in such consortia as the Inter-university Consortium for Political and Social Research (ICPSR) and the Field Institute (California Poll) Academic Consortium through the UC Data Archive at UC Berkeley.

Guidelines

A. **Acquisition**

1. The Library acquires NMRDF selectively. Certain series, such as the American National Election Studies, are actively acquired as they are released. Preference is given to NMRDF available through ICPSR.

2. The Library may acquire NMRDF from agencies or individual researchers, provided complete documentation is made available, with minimal processing needed.

3. The Library also acquires NMRDF selectively as part of the U.S. Government Depository Library Program.

4. Unless research or instructional needs dictate otherwise, the latest processed version will be acquired.

5. NMRDF acquired should be compatible with existing UCI hardware or software requirements, but other hardware and software will be considered as needs arise.

6. Selection of NMRDF is ideally the responsibility of each bibliographer or selector, in consultation with the NMRDF bibliographer.

7. NMRDF should not be acquired if access is unduly restrictive or if confidentiality or privacy would be violated. Online access does not necessarily obviate the need for acquiring NMRDF, nor should NMRDF necessarily replace printed versions of the same data.

B. **Access**

1. To provide access, codebooks or other supplementary materials will also be acquired. The Library will acquire all ICPSR "Class I" codebooks. Where codebooks are only available on tape or disk, printed copies will be generated. Where a choice of languages is available, English-language codebooks are preferred.

2. NMRDF should be preserved in a climate-controlled environment and maintained for preservation.

NONPRINT MEDIA

General Policy

Nonprint media are available in a wide variety of formats. The UCI Library makes every effort to collect in those formats that support classroom teaching and the individual study and research needs of the academic programs. The characteristics of each format need to be considered when purchasing materials, as well as equipment currently available in the library to view or listen to the materials. Currently 16mm motion pictures, 1/2-inch VHS videocassettes, 3/4-inch U-matic videocassettes, audiocassettes, CD-ROM, and microcomputer software (IBM- and Macintosh-based) are purchased, but other media will be considered as needs arise. For nonbibliographic machine-readable data files, see separate policy.

General Guidelines

Materials should be of high technical quality. The Library will make every effort to keep up with current technologies and as appropriate materials become available with newer formats, they may be recommended for purchase for the collection.

Priorities are determined by programmatic needs, which are indicated in the individual selection policies.

Specific Format Guidelines

A. **16mm Motion Pictures**

This is a preferable format for large group (over 50) presentations and often is a preferred medium for areas such as Film Studies, since film has many qualities that are superior to videotape and for the study of film it is important to examine motion pictures in filmic format. There are no 16mm playback facilities in the Library for individual use so motion picture formats are available only for classroom use outside of the Library. If the film has not been seen, it is highly advisable to preview it before purchase. Although most motion pictures were originally released on 35 mm film, this format is not acquired at the UCI Library, as there are no playback capabilities available on campus.

B. **Videotape**

The price of videotape is considerably less than that of 16mm film and is well suited to small group or individual use. If materials are presented in class and a student misses that class session, they can always be viewed in the Library on an individual basis or faculty can place materials on reserve in the LMC. If a feature film is purchased, it is desirable to acquire an accompanying video copy to allow for individual viewing in the Library Media Center. Foreign feature films with subtitles are always preferred over dubbed versions or

versions without subtitles. Dubbed versions or those without subtitles will be acquired if they are the only available copies. The Library does not purchase the Beta format. The 1/2-inch VHS format is preferred over the 3/4-inch U-matic format as the tapes last longer, and the 1/2-inch format materials may be borrowed by faculty for home preview.

C. **Audiocassettes**

Audiocassette is to be preferred over reel-to-reel recordings. The types of materials may range from conference proceedings to authors reading their own poetry or prose materials.

D. **Compact Disks, Laser Disks, and Digital Audiotape (DAT)**

Disks or digital audiotape acquired by the Library should be compatible with existing UCI hardware or software requirements. However, other hardware and software will be considered as needs arise.

E. **Vinyl Disks**

The Library has a few recordings which are circulated, but there is no playback equipment available. This format is not currently purchased.

F. **Microcomputer Software**

The Library acquires applications software such as: word processing programs for use in labs; bibliographic database software and related software to assist in downloading of bibliographic records for the individual bibliographic manipulation of scholar and student; software for computer-assisted instruction; tutorial software; program languages; software necessary to support the operation and maintenance of instructional labs in the Library. Software to support the operating systems of the instructional labs, and mixed format items for the general collection, such as books with an accompanying diskette, are also acquired by the Library.

J.3 Materials Selection

J.3.1 Monographs

a. Single Copies. The collections consist primarily of single copies of works. Titles for which there is a patron demand not met by one copy may be purchased in several copies, as necessary.

b. Texts. Books used as texts are purchased for the collections. Exceptions must be approved by the collection development officer.

c. Juvenile Literature. Children's books are generally not purchased, although exceptions are allowed under unique circumstances, usually relating to instructional support.

J.3.2 Serials

a. Single Copies. Second copies of periodical titles are generally not purchased except where exceptionally high demand may warrant, as determined by selectors. Different rules apply for branch libraries. (see XXN)

b. Backsets. Backsets are added at the selector's discretion. Factors include demand, price, availability, indexing, ILL requests, etc.

c. Microforms. Many subscriptions are retained on microform as the permanent record. The selector may decide on the serial format. Ofttimes, microform may be the only source available. When a choice is to be made, the selector needs to consider various elements such as preservation, space, and cost.

d. Bindery Copies. Some bindery copy subscriptions are retained for heavily used periodicals, where timeliness is of utmost importance. Because of expense and the currency of microform, choosing this path must be carefully considered.

e. Reprints. Reprints of journal articles are generally not purchased if the library owns the source material.

J.3.3 Public Documents

Federal and state documents are an integral part of the libraries' collections. As a depository library for United States government (1907) and Colorado State government (1980) publications, the libraries are required to process, preserve, and interpret them for the benefit of all library users.

A. Policies

The selection of federal and Colorado documents is primarily the responsibility of the documents department. Other librarians, as well as other faculty, assist by submitting recommendations. It is the policy of the libraries to collect the following documents:

1. One copy of selected federal documents for the permanent collection, except that the heavy use of publications in the following subject areas occasionally requires additional copies as determined by the documents department in consultation with subject librarians. The areas are: forestry/agriculture, natural resources, public health, environment, physical sciences/engineering, demography, and water resources. Most of these copies are not retained after a ten-year period.

2. One copy of each Colorado document with two copies of selected titles (e.g., statutes, etc.) in paper format.

3. Two copies of each Colorado State University agricultural experiment station and extension service publications. Additional copies for circulation are secured by the department for items in high demand as recommended by other librarians.

4. Selection of state documents other than Colorado is the responsibility of the subject librarians. Acquisition of these materials is limited to specific subject areas, with the libraries relying on the state documents collection at the Center for Research Libraries for most items.

5. Selection of international government organizations (IGO's, esp. selected titles from UNESCO, FAO, OCED, etc.) is the responsibility of the subject librarians. These materials are cataloged and classified according to the Library of Congress classification scheme by the catalog department, and are shelved in the main collections.

6. After processing, the following types of materials are sent to the university archives: original transcripts of all theses, essays, dissertations, and reports for advanced degrees at the university; a complete set of the university catalogs; one copy of the newspaper, the yearbook, and all other student publications; one copy of each Colorado State University serial including those published under society auspices; one copy of each budget request document, and all other official publications, except the publications of the experiment station and the extension service.

B. Procedures

1. The documents department acquires all documents that are gifts, exchanges, or depository items. Purchases are handled as follows:

   a. Standing orders for U.S. documents serials which are available from the government printing office are charged to a G.P.O. deposit account by the acquisitions department; monographic materials are purchased through the superintendent of documents by the monograph section of the acquisitions department using the same deposit account number.

   b. Educational resources information center microfiche of paper copy items are charged to a deposit account with the ERIC document reproduction service. The serials section of acquisitions department handles this account. Funds for this account are drawn from the LAA materials fund.

   c. Purchases which involve back files, or costly items are made after consultation with the collection development officer and other selectors.

   d. A documents materials fund (DOC) is used for the purchase of abstract/indexing services, CD-ROMs, microtext users, monographic series, and selected serials.

2. All documents are processed according to the following plan:

   a. Most U.S. government documents are classified according to the superintendent of documents classification scheme by the documents department.

   b. Selected federal documents (those added to branch libraries, general and science reference holdings) are classified with the Library of Congress scheme by the catalog department.

   c. All state government documents (including Colorado documents received in paper copy) are classified and cataloged in the Library of Congress scheme by the catalog department.

   d. Colorado documents received in microfiche format through the state depository system are classified and filed according to the Colorado state publication schedule.

J.3.4 Newspapers

A. Policy

1. General. It is important for the libraries to acquire and maintain a strong collection of general newspapers for the following reasons:

   a. To allow the academic community to become acquainted with the viewpoints of other nations as observed through their national press.

   b. To provide detailed information about local, regional, national, and international events.

   c. To provide intermediate level reading material in languages taught at the university.

   d. To give consideration to the sizable body of foreign students on campus by providing them with representative newspapers from their home region.

2. Definitions. A general newspaper is, according to the ALA Glossary, "a publication issued at stated and frequent intervals, usually daily, weekly, or semi-weekly, which reports events and discuses topics of current interest." This excludes for consideration backfiles acquired for research or historic purposes, and deals only with papers received currently. General newspapers include titles such as the New York Times, Chicago Tribune, Jerusalem Post, and excludes trade, or topic-oriented papers such as Barron's Variety, and Sporting News. Other special interest newspapers such as underground press, religious, or ethnic newspapers are excluded. Also, magazines issued in newspaper format do not come under the above guidelines.

3. Geography

   a. State. It is desirable for each state institution to provide its in-state students with strong local coverage. Except for the large city dailies, most attempts to receive Colorado newspapers will be by gift subscription.

   b. Region. For purposes of selection policy, the region includes all states bordering on Colorado: Wyoming, Nebraska, Oklahoma, Kansas, New Mexico, Arizona, and Utah. A special effort is made to subscribe to at least one major daily paper considered representative of the entire state.

   c. Nation. The libraries subscribe to those newspapers representing large urban areas and/or carrying a strong influence both nationally and regionally. In most cases, only one paper representative of its region is purchased, even though in some cases, more than one newspaper from the same region in highly influential.

d. Foreign. Foreign newspapers will be purchase on a highly selective basis, and will be considered for the following reasons:

1. Their role as a major voice in international affairs.

2. Their embodiment of an important or controversial region of the world. If possible, a balance will be struck between conflicting viewpoints by subscribing to more than one newspaper in the region.

3. Their representation for a significant portion of various foreign students at the university. Careful discretion is advised in this area, and when possible, foreign students or their government agencies should be encouraged to provide gift subscriptions.

Underlying the above geographical considerations are the particular resource requirements of the university programs. This would include elements such as language requirements and area and interdisciplinary studies programs. Requests to fill such needs must be considered on an individual basis since the specific demands may not fit into the general categories for domestic and foreign newspapers.

B. Procedures

The control of newspapers is apportioned among various departments of the libraries in the areas of selection, processing, and maintenance.

1. Selection. Although recommendations for newspapers may come from any source, they are referred to the designated selector who is responsible for final selection. All purchases are made from the newspaper fund which is administered by the designated selector. Because of the large expense in maintaining a large newspaper collection, subscriptions are under constant review to ensure a high degree of use among the collection. Air mail subscriptions are entered only for those newspapers where timeliness is of the utmost importance.

2. Processing. The serials unit of acquisitions is responsible for the processing of orders and accessioning of invoices for newspapers. Gift subscriptions are handled routinely through gifts and exchange in acquisitions, which informs the designated selector for making a decision on retention.

   As a rule, general newspapers are not cataloged, the broad exception being papers for which backfiles are kept. A guide card is placed in both the subject and title catalogs under "Newspapers" describing briefly newspaper policy and location.

   A newspaper directory is maintained by the social sciences/humanities department and kept in the newspaper display area. It s the responsibility of the serials unit to notify the department when a new subscription has begun so that appropriate cards can be prepared for the directory. An updated file of the directory is located at the general reference desk.

3. Maintenance. The receipt, display, upkeep, and disposal of general newspapers is the responsibility of the circulation librarian.

4. Retention. Newspapers of record are retained until the microfilm editions arrive. The other are kept according to the following schedules:

   a. Daily newspapers.

      1. Colorado - one week.
      2. Domestic - two weeks.
      3. Foreign - two months.

   b. Weekly newspapers.

      1. Colorado - current issue only.
      2. Domestic - three months.
      3. Foreign - three months.

   c. Bi-monthly newspapers - six months.

J.3.5 Maps

Maps are important forms of literature included regularly in academic library collections. Although they are part of the combined holdings, they are by nature sufficiently unique to require special consideration in their selection, cataloging, processing, preservation and storage.

A. Policy

1. The development of the map collection, including selection, replacement, and weeding is the responsibility of the documents department. Specific responsibility for the collection is delegated by the department head to a documents librarian.

2. Upon direction from the documents librarian, all maps are obtained by the acquisitions department with specially provided funds or through the libraries' depository status.

3. Those maps selected for cataloging by the documents librarian are classified, according to the Library of Congress classification, under the direction of the head of the catalog department. Such maps are housed in a special section of the map collection.

4. All activities for the physical control of the map collection are under the direction of the documents librarian.

B. Procedures

1. Maps issued by the U.S. government, including U.S. Geological Survey topographic quadrangles, are received by the documents librarian who maintains all records and provides appropriate indexes.

2. After cataloging information has been established under the direction of the head of catalog department, the cards are reproduced and filed under the supervision of the head of the card processing unit.

3. As identified by the special collections librarian, all materials housed in special collections are labelled as MAP/SPECIAL.

J.3.6 Out of Print Material

(See J.5.4)

J.3.7 Curriculum Material

A. Policies

Curriculum materials are recognized as a part of the general collection of the libraries. Because the physical composition and purpose of curriculum materials are unique, they are maintained in a separate area known as the curriculum materials collection (CMC). Curriculum materials have a direct bearing on the functions and goals of the school of occupational and educational studies. Although the organization, maintenance, and retrieval of the items is the obligation of the libraries, the selection of materials is a joint responsibility with the school of occupational and educational studies. The CMC is supervised within the social sciences and humanities department of the libraries. Included in the collection are sample classroom texts and work units; encyclopedias and yearbooks, curriculum guides, and selections of non-book materials such as filmstrips, cassette tapes, pictures and charts, simulation games, and maps.

B. Procedures

1. The identification of material selected for the CMC is assigned to the selector responsible for eduction, in conjunction with faculty from the school of occupational and educational studies.

2. Selected materials are prepared and processed through the social sciences/humanities department for the CMC area, where a public catalog is also maintained.

3. Material placed in the CMC is stamped in the following manner:

"Curriculum Materials Center
Colorado State University Libraries"

4. Shelving material in CMC is the responsibility of the circulation librarian who also authorizes the borrowing of individual items from the building. Non-book material is kept on reserve. Dummies in the CMC stacks refer patrons to where these materials can be examined and/or checked out.

5. Borrowing privileges are extended for two weeks and may be renewed. Faculty members may place material from the collection on reserve for two-hour periods, following the established routine. Borrowers are subject to the libraries' fine schedule pertaining to other materials.

6. The collection is weeded periodically by the selector.

J.3.8 Ephemera

A. Policy

A large number of ephemera are received by the libraries through various channels, some by means of purchase, others by gifts (either solicited or unsolicited), exchange, or deposit. Despite their ephemeral nature, some are needed to support the programs of the university. Some others which bear Colorado State University imprints are required for the archives collection. It is the policy of the libraries to catalog fully those items which are intended to be added to the permanent collection.

Ephemera of current value but not intended for the permanent collection are not cataloged. They are treated in a simplified manner to save high cataloging and processing costs. In this context, ephemera are defined as "current material, usually pamphlets and brochures, of temporary interest and value."

B. Procedure

1. Colorado State University publications. Posters, broadsides, leaflets, single-page announcements, or anything similar that appears to be of an ephemeral nature is not cataloged. They are routed to the documents librarian for disposal. The following materials with Colorado State University imprints will be cataloged: Colorado State University series and serials; documents

related to events of campus-wide significance, such as major speeches and building dedications; and monographic material of substance with an author and a given subject content.

2. Uncataloged ephemera. The following types of ephemera are normally not cataloged but are kept in the libraries for current use by simplified methods of handling:

   a. Occupational and travel pamphlets and brochures. These materials are kept in separate vertical files maintained by the social sciences and humanities department.

   b. College catalogs. Catalogs for Colorado institutions are kept on paper and shelved near the general reference desk. All other catalogs are received on microfiche, shelved in the microtext area, and maintained by microtext staff.

   c. Telephone directories. Only Colorado directories are kept on paper, with Fort Collins, Loveland, and Denver directories shelved near the general reference desk. Remaining Colorado directories are located in room 100. All other directories are received on microfiche and are also situated in room 100. These are maintained by social sciences/humanities staff.

   d. Manuals for interactive bibliographic data base searching. These manuals are used frequently by searchers and are kept in either of two locations. Those primarily of interest to social sciences, humanities and business are housed in the SS/H searching

area. Those of interest to science and technology are housed in the science searching area. A lit of manuals and their locations is maintained by the Fee Based Online Searching Coordinators.

e. ARL SPEC kits. Each of the kits issued by the Systems and procedures Center, Assoc. of Research Libraries, is kept in the acquisitions department, where a list is maintained and new arrivals are announced in Intercom.

f. Latin American Studies file. These items, consisting of gift materials such as brochures and individual issues of periodicals dealing with latin America, are maintained by the social sciences/humanities department.

J.3.9 Media/Non-Print Format Materials

(To be included upon completion of Task Force report)

J.3.10 General Materials, Interdisciplinary, Library Science

(See J.4.3.A)

J.3.11 Dissertations, Theses

(See J.3.14. Special Collections for Colorado State University dissertations). dissertations and theses not issued from Colorado State University may be purchased from allocated funds, depending upon the subject. These are housed in the general collection, as are second copies of Colorado State University theses.

J.3.12 Fiction

For internal purposes, fiction material is defined as supporting both the appropriate instructional and research efforts on campus, as well as leisure reading for the campus community. The approval plan includes a select author profile, as well as works being currently issued by both established and new authors. discrete fiction collections are maintained in special collections and in the western collection (circulating)

J.3.13 Current Awareness

The current awareness collection is supported through the general fund (see COLL:103-88, sect. III.a). The collection as its name implies, is concerned with topics of current interest that may or may not be covered in the regular collections. Duplication of material in the regular collections is not necessarily a factor

in selection of titles. Included as collectible topics are current fads and trends (e.g., fitness, health, home microcomputers, pets, outdoors, etc) influencing the general public. Because of the emphasis, most material is up-to-date and n paperback. The collection is weeded frequently due to rapid obsolescence and heavy use. Local bookstores are often utilized for collection building.

J.3.14 Special Collections

Possession of rare books and special collections is a well-established tradition of university libraries. Valuable books are often received as gifts and donors sometimes designate funds for the purchase of books.

A. Policies

1. Objectives

a. To gather rare books and special collections that support study and research at Colorado State University or that constitute significant national or regional resources.

b. To make this material available to qualified persons.

c. To provide adequate protection and care.

d. To offer collections and services which reflect the needs of undergraduates as well as graduate students and faculty.

e. To encourage potential donors, and to communicate to scholars and students on campus and elsewhere the content and scope of the collections.

2. Acquisitions

a. The three methods for acquisition of materials include purchase, gifts, and materials transferred from another part of the libraries or the university.

b. New collections are initiated only with the approval of the special collections librarian and the collection development officer.

B. Procedures

In selection, consideration should be directed toward the acquisition of materials which have a supportive, rather than competitive relationship with holdings in the central collections as well as with proximate library holdings.

1. Purchases

   a. The collection development officer annually allocates a fund for the purchase of special collections materials. Major purchases of single items are discussed in advance with the collection development officer or other appropriate persons. For items requiring special consideration, purchase requests may be derived from non-allocated funds.

   b. Duplicates may be sold or exchanged upon the joint recommendation of the special collections librarian and the collection development officer, in coordination with the acquisitions librarian.

2. Circulation

   Service hours for the special collections are posted on the department door, and are documented elsewhere in publications and signs. In view of the fragile and irreplaceable nature of many special materials, individual items are circulated only with approval of the special collections librarian. Use of all materials within the department is encouraged.

C. Categories

The special collections department has responsibility for rare books, archives, certain non-book materials, and designated subject collections. Materials are assigned or transferred to special collections only with the advance approval of the special collections librarian. Development of new collections may be recommended to the collection development officer. Categories are as follows, with the exception of archives, which is covered in XXI.

1. Classes

   a. All books printed before 1850; all books printed west of the Mississippi River prior to 1865

b. Books from notable printing presses.

Association items, e.g., books that may have no intrinsic value but are associated with famous people, including those books signed by the author.

d. Significant illustrated books, including those with posters, photographs, or other illustrations which may be permanently susceptible to mutilation if left on the open shelves.

e. Fine bindings.

f. Books of local interest, both historical and literary, particularly those published in and about Northern Colorado.

g. Limited, special, and/or first editions.

h. Early and rare books on topics which relate to programs of study, especially graduate study, at Colorado State University.

i. Incunabula, including representative complete works of every major printer active between 1454 and 1501, and representative complete works of minor printers from every decade of the period. In cases where complete works are unavailable or prohibitively expensive, leaves may be purchased.

j. Books of unusual size or format, including miniatures, extremely large folios, books containing samples of cloth, wood, loose photographs, or other material, and books in awkward shapes and sizes, including books in boxes or bound in glass or plastic.

k. Books on special subjects, including Imaginary Wars, Germans from Russia, Vietnam War Literature, and other collections that may be developed.

2. Processing

a. Identification. Catalog copy for rare books includes the word SPECIAL in the call number. Catalog copy for books in Imaginary Wars includes the initials I.W.

b. Markings. Ownership labels are the only permanent markings which may be affixed to the volume. Under no circumstances are date due slips, stamps, or pockets used. For rare books and books in Special, call numbers are affixed on an acid-free tab inserted among the pages. Other materials have the call number marked on the spine.

c. Location and shelving. Titles are shelved in regular sequence within the various categories.

d. Circulation. In those cases where permission is granted to use material outside the building, circulation records are maintained in the department. When interlibrary loan requests are granted, they should be restricted to use within the borrowing library.

e. Catalog records. In those cases where permission is granted to use material outside the building, circulation records are maintained in the department. When interlibrary loan requests are granted, they should be restricted to use within the borrowing library.

J.3.15 Foreign Language Material

Beyond the collection policy statement "Language and Literature - Foreign," the collection of material in languages other than English is dependent upon the strengths of individual programs. For the most part, as the collection policy statements show (see COLL:101-88), the great emphasis is on English language material.

J.3.16 Faculty Publications

The library attempts to purchase at least one copy of works authored by Colorado State University faculty. These are placed in the circulating collections.

J.3.17 Local and Colorado Authors

(See J.3.14.C.1.f. This statement covers only "books of local interest," not necessarily local authors writing on non-local subjects. As far as is known, there is no special effort made to collect works by writers living in the State or region)

J.3.18 Corporation Reports

(See J.2.5, policy state for "Business")

J.3.19. Newsletters

Newsletter subscriptions are normally discouraged. The principal reasons are 1) they are usually of current interest only, 2) many newsletters are subscribed to by faculty who belong to associations or special interest groups which issue them, 3) they can be very expensive, and 4) they are difficult to maintain.

J.3.20. Replacement and Repair of Mutilated, Damaged, and Missing Library Materials (See also J.4.3.B.)

A. Policy

Guidelines are established for mutilated, damaged, and missing library materials to insure that library services will not be impaired. The following reasons for such guidelines are:

1. To reduce the occurrence of loss through user education, improved loan services, adequate copies for heavily used materials, the reserve book system, security check, and faculty cooperation.

2. To establish procedures for reporting and recording loss.

3. To act promptly in replacing or repairing.

4. To improve the coordination among all departments and sections.

5. To develop statistical reports required for management.

B. Definitions.

The terms mutilation, damage,a d missing are defined as follows:

1. Mutilation: the apparent wanton removal of pages, or parts of pages, from library materials.
2. Damage: wear on library materials caused by negligence of the user; or, normal deterioration due to heavy use of patrons.

3. Missing: library materials which are not charged out, and cannot be located through a systematic search of the collection.

C. General Procedures

1. The initial handling of mutilated, damaged and missing library materials is by the Circulation Department which reviews all reports of such cases.

2. The replacement or withdrawing of missing monographs and bound journal volumes are handled by the Modification Section of the Catalog Department in consultation with selectors.

3. The Monograph Section of the Acquisitions Department orders monographs for replacement. Photocopying of missing pages for books and journals is the responsibility of the Catalog Department's Modification Section. Such activity is based upon the recommendation of the selectors and the Collection Development Officer.

4. The Serials Section of the Acquisitions Department orders serials, either single issues or bound volumes, upon the recommendation of the selectors and the Collection Development Officer.

5. The repair of mutilated or damaged materials is handled by the binding unit of the Materials Processing Section.

6. Statistics are gathered and reported monthly through the document "Monthly Statistics of Lost/Mutilated/Damaged Library Material.

7. Detailed procedures are provided in the "Manual for the Replacement and Repair of Mutilated, Damaged and Missing Library Materials" (Operation Manual: Technical Services 107-76).

D. Replacements

Replacements are ordered from special funds upon the recommendation of the Collection Development Officer.

The following criteria are employed in defining a replacement request:

1. When a decision has been made to replace a missing, damaged, or mutilated work, the replacement should be either an exact copy, or a new impression or printing of the original work.

2. If the above procedure is not possible, a different or revised edition, or a reprint of the original work may be substituted. Conversely, if the original work is missing, or damaged beyond repair, and variant or revised editions of the work are owned, a replacement is not sought unless the work is considered a definitive edition.

3. If categories 1 and 2 cannot be realized because of the unavailability of tests, or if the work is no longer considered relevant, a selector may opt for a "topical replacement." This means that a close subject equivalent would be allowed which is congruent with the theme of the work being replaced. All such works falling into this category must have the words topical replacement" written across the top of the order card, and the work being replaced must be identified. This will allow the Collection Development Officer to determine this specific category, and if the requested text approximates the topic of the original item.

4. If other formats (such as paperback or microtext) are available to replace a library copy, the selector may decide which format is preferable.

J.3.21. Archives

The Special Collections librarian serves as university Archivist and provides records management guidance to the university.

A. Categories

1. Original typescripts of all these, essays, dissertations, and reports for advanced degrees at Colorado State University.

2. Publications of the University, including catalogs, directories, newspapers, budgets, serials, yearbooks, etc.

3. Office files, correspondence, records, personal memorabilia and similar material no longer required for administrative purposes.

B. Procedures

1. Acquisitions

   a. Theses, dissertations and reports for advanced degrees are supplied to the libraries by the Graduate School.

   b. Publications are acquired by the Documents librarian.

   c. Office files and similar material re acquired by the Special Collections librarian.

2. Identification

   Cataloged titles are identified with the word ARCHIVE, THESIS, or DISS in the call number, as appropriate.

3. Marking

   Regular procedures previously cited are followed.

4. Location

   Archives are shelved int he Special Collections department or in designated storage locations.

5. Catalog records

   Theses, dissertations, publications of the University and similar items are entered in the main catalog. One additional card is made by the Catalog Department for filing in a main catalog in the Special Collections department.

6. Circulation

Archival materials are used generally in the Special Collections room but may, with permission of the Special Collections Librarian, be used in other parts of the building.

J.3.22 Software

Software used by patrons for information retrieval and academic program support is funded from the Materials Budget. This includes floppy disks and other machine readable formats. Equipment is purchased from other funds although equipment and software that is received on a lease agreement may be supported with the Materials Budget.

A. Compact Disk Subscriptions. software subscriptions such as CD-ROMs will be reviewed by the appropriate Serials Review Committee, and treated as a serial encumbrance.

B. Software Directories. Directories which are added to the collection will be purchased from the General Fund (GGG) of the materials Budget.

C. Funding for Manuals. Manuals for software used by Libraries staff will be purchased form monies allocated for software (e.g., Fee-based online services, Supplies, RLIN/OCLC, etc.), and not the Materials Budget.

D. manuals for Patrons. manuals will be purchased primarily for library staff use. This does not preclude acquiring manuals necessary for instructional programs.

E. Journals. Journals dealing with computers and/or software which are added to the collection and cataloged will be purchased from the materials Budget. Journals unique to one type of computer (e.g., Apple) will generally not be acquired. Normally, titles will be obtained which pertain to more than one system.

Software used by patrons for information retrieval and academic program support is funded from the Materials Budget. This includes floppy disks and other machine readable formats. Equipment is not purchased through the Materials Budget although equipment and software that is received on a lease agreement may be funded through the Materials Budget. Software subscriptions (such as CD-ROMs) will be reviewed by the Serials Review Committees, and handled as a regular serials encumbrance. Final authorization is the responsibility of the Collection Development Officer.

J.3.23 Microform Material

Refer to individual collection policy statements in J.2.

J.3.24 Branch Library Material

Materials that are purchased for branch libraries fall into three categories:

1. Reference materials. Materials to be placed in the reference collection of the branch are purchased out of the reference book budget.

2. Subjects. Materials which are not to be duplicated are purchased from the regular subject funds as provided in the allocation.

3. Duplication. Items duplicated are purchased with a separate fund in the Materials Budget. Each branch library is provided with such funds, which are for Atmospheric Science (STS), Engineering Science (ESB), and Veterinary Teaching Hospital (VTH).

J.3.25 General Reference and Science Reference Collections

The General Reference and Science Reference collections at Colorado State University Libraries consists of materials selected to provide the academic community with a convenient source of reference and bibliographic information. They include authoritative books and serials of a general nature, subject collections in the social sciences, humanities, business, sciences and technology, and selected access through various indexing and abstracting tools, including electronic access.

A. Policy

The objectives of reference collection development policy are:

1. To acquire books, serials, and indexing tools needed to support the reference inquiry and research needs of Colorado State University undergraduates, graduates,a nd faculty.

2. To keep these materials currant and to meet the changing informational needs of the university community.

3. To maintain a balanced and well-rounded collection in the subject areas served by the reference collections.

B. Procedures

1. It is the responsibility of the Social Sciences/Humanities and Sciences/Technology department heads to scan selection tools and keep abreast of current publications with reference service potential. The members of these departments are encouraged to recommend material for acquisitions. The materials are acquired by purchase, gift, exchange, or by transfer from another part of the libraries in the following manner:

   a. The Collection Development Officer establishes annually separate funds for the purchase of general reference (RRR) and science reference (SRR) materials. These funds are administered respectively by the department heads for Social Sciences/Humanities and Sciences/Technology.

   b. Materials selectors may use their subject suballocation to purchase materials for the reference collections. Selecting of such material is coordinated with their respective department heads.

2. The following checklist of criteria applies to the acquisition of reference titles:

   a. What re the strengths and weaknesses f the present reference collections in the subject area under consideration?

   b. Does the topic fit into the relevant curriculum?

   c. Is the topic current, popular, or of continued importance?

   d. Has an item received favorable reviews in the current literature or in basic reference guides?

   e. Does the title duplicate information already available in the Libraries reference collections?

   f. Is the material up to date?

3. Items which reliably answer a high percentage of factual or frequently asked questions are placed in the ready-reference shelving area.

McMaster University

CD ROM'S WITHIN THE UNIVERSITY LIBRARY

SERVICE

1. The basic configuration of a CD Rom Station (i.e. PC, monitor, and peripherals) should be uniform throughout the University Library. Such services as down-loading or printing will not be offered in one area and not in another.

2. CD Rom's will not be available for patron use in non-service hours of the area in which they are located. (to increase security for equipment and disks and to eliminate pressure on non-reference staff members to provide services).

3. CD Rom's will be locked into the CD Rom drivers wherever possible. CD drivers will be configured in "daisy chains". Where this configuration is not possible, staff members will hold CD Rom's in secure staff areas and will manage the necessary switching of CD's themselves. (In order to minimize handling of the CD Rom and to minimize such additional staff routines as signing-out material.)

4. Every effort will be made to eliminate the need for extra bureaucracy and staff routines (e.g. sign-up sheets). In order to gauge the effectiveness of service procedures, each new CD Rom installation will be carefully monitored.

5. Down-loading will be permitted, where not in violation of copyright, but users must provide their own diskettes. An information sheet on the available campus facilities for printing from student-owned diskettes will be provided.

6. Printers will not be provided. The effect of this policy on length of searches and user demand will be monitored over a period of at least a year and reconsidered at that time.

7. Students will be expected to read available user guides and to follow the instructions of the "user friendly" software. The Applied Systems and Instructional Services Librarian will attempt to coordinate workshops for Teaching Assistants.

8. Every attempt will be made to purchase CD Rom's well enough in advance of installation for public use to allow for concentrated staff training.

ACQUISITIONS

1. Even where an opportunity arises for the library to purchase a CD Rom service with special funds outside of the regular acquisitions budget, the purchase will not be made without careful consideration of the long-term funding impact on the serials subscription budget.

2. The decision to duplicate the CD Rom and paper subscriptions of a particular title will be made on the basis of use. This decision will be made between the Assistant University Librarian for Collections and the appropriate Divisional Director.

(Jan. 1990)

3. When a particular CD Rom service is clearly of interest to more than one campus library location, the coordination of any simultaneous purchase requests will be the responsibility of the Assistant University Librarian for Collections in consultation with the requesting libraries. The decision to make multiple purchases will only be made after the factors in 1 and 2 above and 5 below have been carefully evaluated.

4. Licensing agreements with CD Rom vendors will be approved through the Systems Development Office. At that time, the Applied Systems and Instructional Services Librarian will discuss with the appropriate staff in the final Library location any restrictions on use mandated by the licensing agreement.

5. General responsibility for monitoring the field of available CD Rom publications and relevant technical developments will rest with the Operational Group - Computer-assisted Reference.

Each new CD Rom purchase will be considered on the basis of the following criteria:

- quality of the database (e.g. correctness of indexing, type of material covered)
- ease-of-use
- volume of user demand
- vendor (It could be useful to buy as many CD's as possible from the same vendor in order to have similar searching protocols)
- percentage of material indexed actually in our collection
- cost comparison with similar paper product and on-line services
- availability of similar tools within the larger community
- hardware needed (We should ensure that new CD Rom's can be run on already available equipment.)

6. Serials Kardex staff will send the new CD Rom and new versions of the complete product (CD, floppy disk(s), manual) to the Systems Development Office for backup, testing and trial installation. The full package should then be returned to Serials Kardex for routing to Processing Services for cataloging.

PROCESSING

1. CD Rom will appear in catalogues and/or serials lists as a format.

2. The only physical processing required will be to affix a call number label on the CD itself and on its container and to affix a McMaster ownership label on the CD.

3. After full processing, Processing Services will send material to final Library Location.

FINAL LIBRARY LOCATION

1. At the final Library Location, staff will contact the Systems Development Office for the final installation of the software.

COMPUTER FILES SELECTION POLICY
(for addition to the University Libraries Selection Policy)

The general policies and procedures governing selection of materials in other formats also apply to computer files. Computer files are defined as files that are encoded for manipulation by computer. These files comprise data (textual, numeric, graphic or visual) and programs. Computer files may be stored on, or contained in, carriers for direct access or by remote access. They may be produced by commercial, governmental or private sources or individuals. Because of the high costs involved with this format--costs of the files themselves, and the attendant equipment, line, supply, space and security costs--selectors should be particularly cautious in making decisions about computer files. Along with the above factors that influence selection decisions about other formats, selection decisions regarding computer files require the selector to be informed of, and give careful consideration to, such additional issues as:

-- software/hardware compatibility and adequacy of supporting equipment and available space in the current University Libraries configuration;

-- adequate documentation on the implementation, use and restrictions;

-- staff time required to make the computer file effective for the individual user;

-- the accessibility of the file within the Libraries environment under the requirements and restrictions of the file's supplier.

(RJ100344)

University of North Carolina
Chapel Hill

Collection Development Policy for Machine Readable Data Files On Disks

June 26, 1985
revised July 1, July 3, September 24, 1985
endorsed October 7, 1985 by Library Administrative Board

Introduction:

The fact that access to computer technology is now widespread within society as a whole has led to a corresponding increase in information resources which are available in new formats such as microcomputer floppy disks (also referred to as "diskettes") and magnetic tapes. While these new formats differ significantly from those conventionally collected by libraries, the information that is carried or conveyed through this new medium, whether bibliographic, numeric or textual, constitutes a logical extension of those materials which libraries currently collect. As one example of the types of information now available in the new format, in the past the Chronicle of Higher Education developed various yearly surveys and statistical analyses which were published regularly in hardcopy in issues of the Chronicle. These tables and surveys are now available for purchase on floppy disks, which allows the individual user to manipulate and reformat the data in whatever manner and for whatever purpose the user may choose. Other types of information, especially statistical information, census data, etc. which previously appeared in book or serial format, have likewise become available on disks or magnetic tape. The U.S. Bureau of the Census publications, The County and City Databook, County Business Patterns, and Population Estimates are examples of titles formerly in hardcopy which are also now available as data diskettes. Examples of non-numeric data files are: CareerScan IV, Directory of Public High Technology Corporations and the Academic American Encyclopedia. Examples of instructional data files are: Ethical Problem-Solving in the Social Sciences and Harmonic Analysis and Dictation. Increasingly, other information of an instructional, reference and research nature are also becoming available on magnetic and optical disks and in other machine readable formats.

While policies on the selection and acquisition of books, serials, videotapes, audio tapes, films, and filmstrips currently exist, few policies have been developed to adequately handle the selection and acquisition of data diskettes and datatapes. The following document is intended to provide such a policy for magnetic and optical disks only. Both fixed and manipulatable types of data files in these categories are covered by this policy. Because of the special requirements which apply to magnetic tapes, including their often being accessible only through mainframe computers, magnetic tapes are excluded from this policy. It should be noted that, due to the rapid and unpredictable technological advances which are taking place in terms of computer applications, this policy for data diskettes will necessarily require frequent review and revision.

1. General Considerations

A. The BASIC PREMISE in establishing a formal policy on the selection and acquisition of materials in a machine readable format is that an academic, research library has as its primary responsibility the provision of access to the most extensive and most sophisticated sources of information available within the limits placed on the library by its financial, personnel and physical resources. Materials, such as data diskettes, which provide access to and enhance the use of significant information resources are appropriate additions to the library's selection and acquisition programs. They add a new dimension to the information which a library can provide and therefore, subject to financial and physical contraints, belong in the library's collections.

B. Because of the existence of a multitude of materials which appear in machine readable formats some means of differentiating among these formats for the purpose of selection and acquisition is necessary. Any DEFINITION of materials to be covered by this policy must take into account the existence of two basic types of disks (diskettes): 1) Program diskettes; and, 2) Data diskettes. Program diskettes contain "a logically arranged set of programming statements (or instructions) defining the operations to be performed by a computer in order to achieve the desired results." Examples of program diskettes are: Lotus 1,2,3, dBase III, Multimate, VisiCalc, SuperCalc, R-Base, etc. Data diskettes contain "characters grouped together in specific patterns, to which meaning is assigned: commonly used to designate the numbers, facts, concepts, or the like to be processed by a program." Examples of data diskettes are to be seen in the aforementioned U.S. Bureau of the Census publications, The County and City Databook, County Business Patterns, Population Estimates, CareerScan IV, PsycLit, Ethical Problem-Solving, etc.

C. Included within the SCOPE of this policy are only issues related to the selection and acquisition of data disks. Issues dealing with the selection and acquisition of individual program disks are excluded from consideration in the present policy, except in those instances where the individual publisher or supplier has included them as an integral and inseparable part of the data disk. (At present the selection and acquisition of program disks is expected to take place outside of the library materials budget. The fact that program disks are presently excluded from this policy is not meant to preclude their possible inclusion, contingent upon circumstances, at some later date.) Further, data disks must be located in those areas within the Academic Affairs Library which have the ability to handle and service these materials. **DATA DISKS OF ANY SORT CANNOT BE HOUSED IN OPEN STACKS IN ANY ACADEMIC AFFAIRS LIBRARY UNIT.**

2. Selection Procedures

The same selection CRITERIA which are currently applied to the selection of books, serials and standing orders should be applied to the selection of data disks: 1) The materials enhance the library's collections; 2) The material is of a high quality both physically and intellectually; 3) The materials are within the subject parameters of the collections; and, 4) The materials are appropriate to the teaching and research needs of the community which the library serves; and, 5) In light of items 1-4 above, the cost of the material must be weighed against the cost of other possible purchases. Finally, in the case of selection by academic departments, it must be emphasized that data disks selected must be cataloged and housed within a unit or Department of the Academic Affairs Library. (They cannot under any circumstances be indiscriminately housed in the library's main stacks.)

As is the case with books, serials and standing orders, academic departments cannot use library materials funding to select materials to be held outside of the library system. In addition to these preexisting criteria for selection, several other factors must be considered in the selection process:

A. The data disks must be available for acquisition by the library. Agencies which sell or provide only to individuals rather than to institutions should be excluded from the selection process. Under no conditions will blank disks be provided in barter by the library as a basis for any agency providing or producing data disks.

   NOTE: If an individual who has acquired or been given materials wishes in turn to donate these materials to the library with the understanding that these materials will be available generally, the materials should then be treated as would any other unsolicited gift.

B. All hardware, i.e. "the physical equipment and components in a computer system," required to operate the data disk must already be available either in the Department selecting the material or in the area which will ultimately house the data disk.

   NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the hardware necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library unit must first gain permission and approval of that unit before selection. The library or unit concerned will determine whether it is interested in having the material, and then if it has the capability for housing and servicing the material requested.

C. All programs required to operate the data disk -- except those which are an integral part of the material under consideration for selection -- must already be available either in the Department selecting the material or in the area which will ultimately house the data disk. Program disks which are not available to the public, e.g., those used for internal departmental record-keeping or other non-public operations, do not meet this requirement.

NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the programs necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library Unit must first gain permission and approval of that unit before selection. The library or unit involved will determine whether it has the program capability of housing and servicing the selection.

D. Part of the selection process must also include the prior determination, i.e., before ordering, that sufficient personnel with an adequate level of training in hardware and software use are available in order to assure access to and proper use of the materials selected.

NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the personnel necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library unit must first gain permission and approval of that unit before selection. The library or unit involved will determine whether it has the personnel capable of servicing the materials selected.

3. Funding

Funding for those materials which meet all the selection criteria above will be the same as currently exists for books and new subscriptions. One time purchases of data disks will be considered as being the same as an expenditure on books. Subscriptions to services which provide data disks on a recurring basis will be considered as being the same as a New Subscription. There will be no special allocation for the purchase of these materials, and they must fall within the financial limits provided by the existing budget allocations. The same limitations which currently exist for Book and New Subscription expenditures will also apply:

A. Individual data disks being requested for purchase within a Book Allocation and costing over $250 but less than $500 must be approved by the University Bibliographer before they are forwarded to the Acquisitions Department.

B. Individual data disks being requested for purchase within a Book Allocation line and costing more than $500 must be approved by the Research Fund Committee of the Library Administrative Board before they are forwarded to the Acquisitions Department.

C. More expensive data disks can be considered by the Research Fund Committee at both its fall and spring meetings. These requests must meet the same criteria and standards which apply to all materials to be considered by the Research Fund Committee.

D. Requests for additional funding in the Book and New Subscriptions lines for the specific purchase of data disks should be included with the budget requests which are submitted in May/June of each year. Although the amount should be included as part of the Book or New Subscription allocation request, as is appropriate for the type of material, the amount requested for data disks should be specifically and separately stated.

E. Expenditures for data disks will be monitored by the Collection Development Department on a regular basis in order to determine the increase or decline in interest in the acquisition of these types of materials; their impact on existing collections and services, will also be studied.

4. Acquisitions

As is currently the case with Books and New Subscriptions, the appropriate order card should be generated by the unit ordering the material. Information on the order card should include the specific title of the data disk and all information appropriate to identify the agency selling the material. It should be clearly indicated on the order card that the material is a data disk. The Academic Affairs Library location for the data disk must be indicated. If the location for the material is other than that of the individual approving the order, then the order card must also contain the signature of the individual who is in charge of that location. No materials will be accepted or processed for acquisition unless there is a clear indication that the location of the material has been approved.

5. Cataloging, Circulation, Copying and Use of Data Disks

Policies concerning cataloging, availability for use by the public, circulation and copying in addition to policies regarding public access to all the programs, hardware and data disks covered directly or indirectly by this policy are presently being developed. Upon approval these policies will be appended to this document.

6. Special Considerations

It is a stated and basic principle within this policy that no data disks should be stored in the open stacks of any Academic Affairs Library unit. Also included within this category of exclusions are <u>any</u> floppy disks (diskettes), magnetic tapes or other machine readable materials contained physically within books or serials. The main stacks provide neither access nor security for any of these materials. Those disks, especially ones contained in books, which are inadvertently checked out through the circulation system suffer the immediate and complete physical loss of the information stored on them. Dust, dirt, heat, humidity, compression, and improper storage and handling will also result in disk failure. A controlled environment is absolutely necessary in order to provide even minimal disk preservation. A location other than the main stacks <u>must</u> be established and approved before these materials are cataloged. Any materials which are not accepted at locations other than the main stacks must be either returned to the vendor or publisher, or discarded.

Because of the difficulty which the Library of Congress has had, until recently, in establishing cataloging procedures for data disks, tapes, program tapes, etc., especially those which are enclosed in books, we have acquired a number of unexpected data disks and programs which were included in books. These should be returned to the individual who ordered the material so that he or she may establish their specific library location in light of the above policy. In the future any such material identifed after receipt should be shown to the individual who ordered the material so that proper disposition of the material can be arranged in accord with this policy.

As noted previously in the policy, blank disks will not be provided nor can be acquired through the use of Library materials funding for exchange with an agency or publisher for data disks.

ACADEMIC AFFAIRS LIBRARY

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

Chapel Hill, NC 27514

Collection Development Policy for Codebooks For Machine-Readable Data Files on Magnetic Tape

rev. 11/8/86

Background:

In response to the growing importance of library materials in electronic formats, in 1985 the Academic Affairs Library decided to collect machine-readable data files on magnetic and optical disks. At the same time, it was decided that the Institute for Research in Social Science (IRSS) Data Library would continue to be responsible for library materials on magnetic tape and would broaden its scope to include the humanities and sciences.

While responsibility for the various MRDF formats was being partitioned, Joe Hewitt, Associate University Librarian for Technical Services, appointed a task force chaired by Luke Swindler, Social Sciences Bibliographer, to investigate what codebooks and related materials needed to identify and use the data files in the IRSS Data Library should be acquired by the Davis Library, which serves as the central research collection for the social sciences and humanities.

The major reasons for Davis Library to acquire codebooks on a systematic basis were as follows: 1) to provide users with duplicate copies of codebooks (especially in the case of heavily used materials); 2) to provide users with a circulating copy (the Data Library collection is non-circulating); 3) to provide users access to codebooks when the Data Library is not open; and 4) to provide users with direct bibliographical access to codebooks, and thereby increase the likelihood that they would discover the existence of a relevant data set. Moreover, the codebooks will complement the published versions of these studies already in the Davis Library.

Over the course of several months the Davis and IRSS library staffs held several meetings to discuss the nature of the Data Library's holdings, define the scope and locations of the codebooks and related documentation for Davis Library, and assess the collection development, acquisitions, cataloging, and public services implications of having these materials. This policy is a direct result of these efforts.

Scope:

There are four major components to the IRSS Data Library's holdings: ICPSR files, census data, national public opinion polls, and miscellaneous MRDFs. Each of these components is discussed below in terms of the following: scope of the Davis Library collection, location of the material, determination of the base collection, and mechanisms for updating the holdings.

I. Inter-University Consortium for Political and Social Research Files

Scope: Davis Library will acquire all class I codebooks. These titles represent fully documented codebooks--which often include descriptive statistics such as frequencies and means--for data sets that have been checked, corrected if necessary, and formatted to ICPSR specifications. In addition, the Social Sciences Bibliographer and the IRSS Data Librarian will go through the latest edition of the ICPSR catalog--Guide to Resources and Services 1985/86--and select those codebooks from classes II-IV that are of the greatest importance and/or of greatest interest to UNC-CH users.

Location: These codebooks will be cataloged for Davis Library main stacks with the exception of a few heavily used titles, e. g., General Social Survey. These titles, which account for the bulk of the use of the IRSS Data Library, will be kept in BA/SS because of exceptionally high demand. In addition, BA/SS has placed a subscription to the annual ICPSR catalog--Guide to Resources and Services.

Base: All class I and appropriate class II-IV titles not already held in Davis Library.

Updates: A processing fund subscription for collection development has been placed for the the ICPSR Bulletin, which contains annotated listings of all newly-acquired data sets. The Social Sciences Bibliographer will send each issue to the IRSS Data Librarian to make acquisitions suggestions. The Social Sciences Bibliographer will review the IRSS Data Librarian's recommendations and make the final codebook selections. The ICPSR's annual report lists data files that have been upgraded to class I status. The IRSS Librarian will pass on this information with acquisitions recommendations to the Social Sciences Bibliographer, who will then have the necessary orders generated.

II. Census Data

Scope: These materials are generated by the federal government, with the ICPSR also producing editions of the codebooks that contain the same information except for an altered title page. There are approximately six shelves of codebooks for these materials. [A check of IRSS holdings against BA/SS government documents collections in the 1985 revealed that Davis Library had only two titles.]

Location: All census codebooks will be kept in BA/SS. [Need to clarify if they are to go into documents collection or be cataloged.]

Base: Although the entire census codebook collection could be duplicated, the IRSS Data Library recommends that it would sufficient to have only the most central and heavily used titles in Davis. The BA/SS reference staff and the IRSS Data Librarian will go through the latest annual Census Catalog and Guide to select appropriate titles.

Updates: BA/SS will either arrange to get its own copies from the Bureau of the Census or buy ICPSR editions of relevant census codebooks, which are listed in the ICPSR Bulletin. [Need to clarify how these will be updated.]

III. National Public Opinion Polls

Scope: There are few formal codebooks for this collection of data, with most of the documentation consisting of pre-coded questionnaires, master codes, and UNC-generated frequencies. Most of the material is not bound as printed volumes; rather it is kept in folders and housed in vertical files. The Data Library does not recommend that Davis duplicate these materials. Instead, Davis Library will collect only the published documentation, e. g., Gallup Report. BA/SS already has most of these reference titles, while the main stacks contain most of the secondary documentation, e. g., Public Opinion.

Location: The codebooks and related reference materials will be kept in BA/SS; the other public opinion titles will go in the Davis stacks.

Base: The Social Sciences Bibliographer and the IRSS Data Librarian will determine the basic monographic and serial titles that should be in Davis Library. More specifically, the Data Library recommends that BA/SS keep copies of its indexes to the Harris and Gallup press releases.

Updates: The Data Library will inform Davis Library of new acquisitions and new editions in this area.

IV. Miscellaneous MRDFs

Scope: These tapes mainly fall into the following categories:

1. North Carolina-Specific

Titles appropriate to the Davis Library consist of the two major North Carolina public opinion surveys: Carolina Poll and North Carolina Citizen's Survey.

2. Business, Economic, and Demographic Statistics

Titles appropriate to Davis Library primarily consist of major time-series in business and economics that are not propriety in nature or otherwise restricted: International Monetary Fund and CITIBASE.

Location: Codebooks and related materials of high-use reference value will be kept in BA/SS; the other titles will go in the Davis stacks.

[redacted]

1. Carolina Poll: Davis Library will photocopy the documentation and releases held by the Data Library.

2. North Carolina Citizens' Survey: Davis Library with get try to get a complete sets of documentation from the State of North Carolina; if this is not possible, Davis Library will photocopy the documentation and releases held by the Data Library.

3. International Monetary Fund: Davis Library will order the latest ICPSR editions of the cumulative reference guides Direction of Trade and International Financial Statistics.

4. CITIBASE: The Data Library will photocopy the documentation and releases for the Davis Library.

Updates:

1. Carolina Poll: The Davis Library will set up a pro forma gift subscription with the Data Library, which will provide Davis Library will photocopies of new documentation and releases.

2. North Carolina Citizen's Survey: Davis Library will try to get a gift subscription from the State of North Carolina; if this is not possible, the Davis Library will set up a pro forma gift subscription with the Data Library, which will provide Davis Library with photocopies of new documentation and releases.

3. International Monetary Fund: Davis Library will place a subscription to the latest ICPSR editions of the two cumulative reference guides.

4. CITIBASE: Davis Library will set up a pro forma gift subscription with the Data Library, which will provide Davis Library with photocopies of new documentation and releases.

Other Matters

The Data Library will will inform the Social Sciences Bibliographer of any new miscellaneous titles appropriate to Davis Library's collections.

The Social Sciences Bibliographer and the IRSS Data Librarian will discuss which computer printouts of IRSS holdings are appropriate to Davis Library collections. The Davis Library will then set up pro forma gift subscriptions with the Data Library. All of these subscriptions will be for latest issue only and will be located in BA/SS.

The Social Sciences Bibliographer will be responsible for generating orders, tagging those that will go into BA/SS, and initiating the transfer of any titles from the main Davis stacks to BA/SS.

The back of each order card will be tagged "Send to S S Cataloger" so as the ensure prompt processing. In addition, if the IRSS has the data file, the back of the order card will be tagged "IRSS has data." In the case of codebooks, "Codebook Only" will be placed in the edition box of the order card so as to clearly indicate that the library wants only the guide and not the data itself.

The orders will be sent to acquisitions in groups so as to facilitate swift processing. Acquisitions will return all duplicate orders directly to the social sciences bibliographer, who will inform the social sciences cataloger of any titles that need to be transferred and/or tagged.

The codebooks and related documentation will be classed in the normal LC manner.

The cataloging department will be responsible for tagging both the works themselves and their respective bibliographic records to indicate that the IRSS holds the data. The tag will read: "The data represented in this codebook are housed in the IRSS Data Library." In the case of titles already held by the Davis Library, the order cards that are returned as duplicates will be used as the basis for this tagging. In the case of future IRSS holdings, its acquisitions list will be used as the basis for this tagging.

PENNSYLVANIA STATE UNIVERSITY LIBRARIES
SELECTION GUIDELINES FOR ELECTRONIC RESOURCES

Guidelines

October 1990

Approved by LAC
October 1, 1990

SELECTION GUIDELINES FOR ELECTRONIC RESOURCES
- Guidelines -

1. Electronic information sources purchased by the Libraries (e.g. on-line services) should support the academic programs and needs at the Pennsylvania State University. Software should be evaluated and selected on the same criteria as other materials. (Collection Development Policy 1.5)

   The general factors are:

   (a) Scholarly worth,
   (b) Relevance to the existing collections,
   (c) Relevance to the University's needs,
   (d) Importance in relation to other possible acquisitions,
   (e) Fairness of price, in determining between offers or between types of reproduction, and usability (College Development Policy 1.5) and,
   (f) Adequate documentation for use,
   (g) Readily available for purchase.

2. Electronic resources must be compatible with existing University hardware (microcomputers, printers and compact disc players). If additional hardware is needed the appropriate administrator for collection development must be consulted for availability of equipment funds prior to selection. Many of these electronic resources will be housed in the University Libraries, while others may be housed in other locations. For example, MRDF's may be housed in the Center for Academic Computing at University Park.

3. Electronic resources should be well designed, user friendly and fast. Program documentation should be clearly and concisely presented. If necessary, a trial subscription or order on an approval basis should be recommended. Consult with acquisitions if a trial period is advisable.

4. Selectors must be aware of terms of various license agreements. If the libraries can not comply with a valid, non-negotiable software license agreement, the software should not be selected.

5. The order request should specify format (disk, cassette, magnetic tape, book accompanied by disk, etc.), technical specifications (size, density, etc.) and must specify the location of the appropriate operating system and hardware on which the software will be used. Documentation should be ordered if it is considered a separate item.

6. Selectors must fund the purchase of electronic resources either primarily on subject or collection funds or in agreed-upon joint funding with other allocations.

7. Selectors considering Flat Fee Access to on-line services should consult their Department Chief to discuss equipment and service considerations.

(See also acquisition guidelines, access guidelines, and CD-ROM policies)

BUDGET REPORTS

BROWN UNIVERSITY LIBRARY MEMORANDUM

Date: Sept. 24, 1990

To: Frederick C. Lynden, Assistant University Librarian for Technical Services

From: Steven E. Thompson, Head Serials Department SET

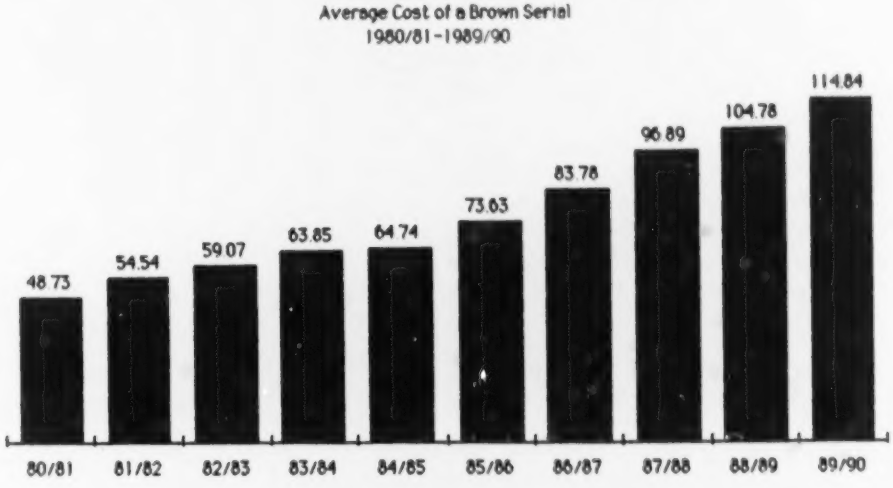
Subj: Preliminary Estimate of the 1991/92 Serials Commitment

This preliminary estimate of the serials commitment for the fiscal year 1991/92 is prepared for use in the Library's fall budgeting process. The estimate is divided into four parts: serials inflation trends and averages, current serial price outlook, dollar watch, and the 1991/92 preliminary serials commitment.

I. Serials Inflation Trends and Averages

A. Local Trends and Averages

On a local level, the average cost of a Brown serial increased 9.6% in 1989/90. This is the second consecutive year in which this figure has remained below 10%. Nevertheless, since 1985/86, a span of only five years, the average price of a serial has soared from $64.74 to $114.84, a 77.4% increase. Since 1980/81, the average price of a serial at Brown has jumped 163%. The average annual increase since 1980/81 has been 11.5%. The chart below depicts the rise in the average cost since 1980/81.

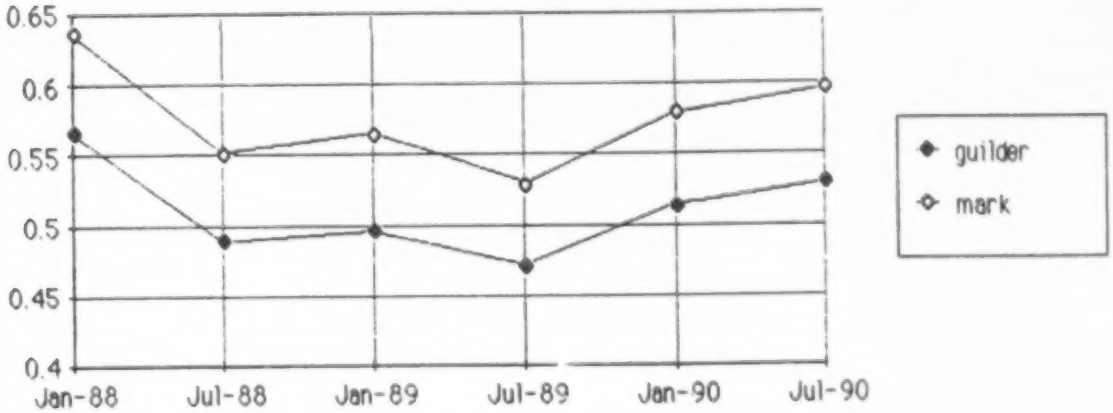


Brown's domestic journal prices increased at a 7.7% rate in 1989/90. This increase was significantly lower than the 11.0% experienced last year. The average annual rate of increase for domestic journals is 9.3%.

The primary factor influencing the single digit overall increases in 1988/89 and again in 1989/90 was the relative stability of the U. S. dollar's in relation to other major currencies. Although the dollar did slide in 89/90, it held steady during the

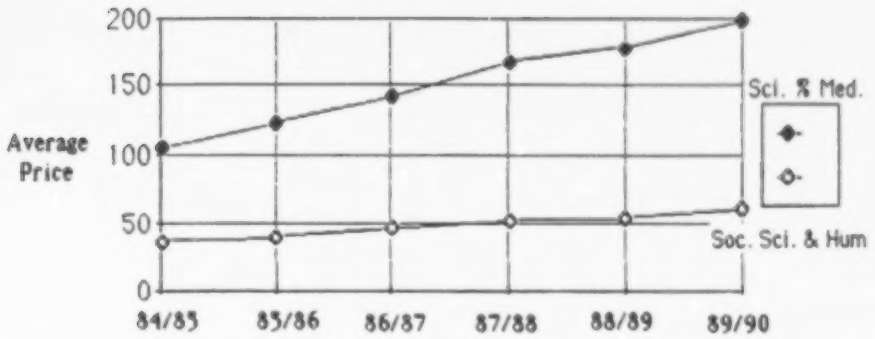
critical months of July and August 1989 when most subscription renewals for 1990 occurred. As a result, foreign prepaid subscriptions increased at a rate of 10.4% over 1988/89. The situation could have been much worse as the chart below illustrates. Note the strength of the dollar in July 1989 and its relative weakness thereafter particularly in July 1990. It is the latter factor that will impact costs negatively in 1990/91. The two year average of 6.8% for foreign journal prices is well below the experience of the years from 1986-1988 when increases averaged 22.8%. The average annual increase for foreign journals since 1984 stands at 13.3%.

Exchange Rates Jan. 1988-June 30, 1990
(in Dollars)



In the discipline areas, science, technical and medical journals (STM) continue to play a large role in determining the direction of serial expenditures at Brown. The average price of a medical journal increased from $112.64 in 1988/89 to $127.78, a 13.4% rise and science and technical journals increased from $194.61 to $215.31, a 10.6% increase. Humanities and social science titles went from $54.43 to $60.13, a 10.4% rise while general titles moved from $70.24 to $75.91, a 8.21% rise. The average annual rate of increase since 1984 has been 11.9% for medical, 14.0% for science and technical, 10.6% for humanities and social sciences, and 8.2% for general titles. The chart below graphically depicts these increases.

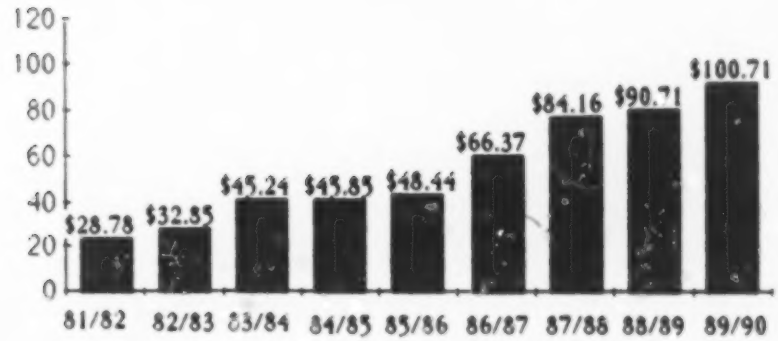
Average Prices of Brown Science and Medical Serials Compared to Soc. Sci. and Humanities Serials 1984/85-1989/90



The high rates of increase for scientific, technical and medical titles and the high percentage of them that are published abroad (52% as opposed to 44% for other disciplines) result in an enormous expenditure for serials in the STM areas. Of the 1989/90 serial expenditure of $1,728,656, $1,001,570 or 58% was for STM serial titles.

Irregularly published serials account for a smaller portion of the overall serials expenditure at Brown then do prepaid subscriptions (approximately 25%). As a group their annual average rate of price increase has been slightly lower than for journals, this despite the fact that a higher percentage, more than 60%, is foreign. The average annual increase in the Library's irregular serial standing orders since 1981/82 has been 9.3%. The 1989/90 increase in the average price of an irregular serial was 3.9%. One major component of the irregular serials, though, that is increasing at a rapid rate is the numbered monographic series. As a group, 72% of these series are published abroad and this has certainly been a factor in its growth rate. As the chart below shows, the average cost of a series has more than tripled in only 8 years. The average annual increase for numbered monographic series has been 17.7%. This surpasses the level of increase for any other serial category. The chart below shows how the expenditure for numbered monographic series has grown since 1981/82.

Average Price for Numbered Monographic Series 1981/82-1989/90



Locally there are three factors that must be borne in mind in projecting Brown's serials expenditures for 1991/92:

1) The overall average annual rate of increase remains in the double digit range at 11.5%.

2) 50.7% of the 1989/90 serials expenditure went to pay for serials published outside of the United States. The average annual cost increase for foreign journals has been 13.3%.

3) 58% of Brown's serials expenditure goes for scientific/technical and medical serials which have averaged increases of 14.0% and 11.9% annually.

B. National Price Data and Averages

Nationally published price data are useful to discern trends that effect all libraries. They provide a general economic indicator of serial and periodical prices as well as institutional subscription patterns. However, the global nature of the data may not always relate to the serial ordering patterns of individual institutions.

There are two major price index sources to compare with Brown's local data. The first is the Faxon Company's annual price survey of serial titles contained in their database (this information is also used by the Higher Education Price Index). This is an extremely valuable report for two reasons. First, it isolates college and university libraries as a group and provides information pertaining to that clientele. Second, it includes data on foreign serial costs. Faxon's *Periodical Prices 1988-1990 Update* prepared by Peter Young shows increase in the average price of a serial ordered by college and university libraries since 1980 to be 9.5% annually. This compares to Brown's 11.5%. The increases over the past two years according to Faxon data have been 7.0% and 11.0% while our own data shows 8.1 and 9.6% respectively. The average price paid for a serial by college and university libraries according to Faxon data in 1990 was $139.75, the Brown figure was $114.84.

Faxon figures show that the cost of a foreign serial in their database increased by only 5.1% while Brown showed a 10.3% increase in 1990. The average annual increase of a foreign serial according to Faxon since 1987 has been 9.0%. The comparable Brown figure is 12.0%. The domestic journals in the Faxon database increased 7.5% in 1990 and have averaged 9.7% since 1987. Brown's 1990 figure was 7.6%.

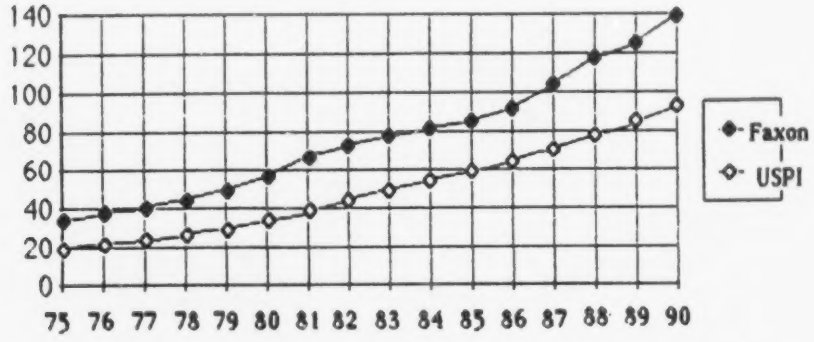
The other published serial price information of note was published in *Library Journal's* April 15, 1990 issue. This information, now the responsibility of ALA's Library Materials Price Index Committee, was formerly prepared by Norman Brown. It is now called the United States Periodical Index (USPI). This report represents only information on journals published in the United States. The 1990 increase, according to the USPI, was 9.5% which compares to our 7.6%. Since 1984 this figure has been between 8.6% and 9.9% every year with an average of 9.3% over that time.

The *Library Journal* article also documents the difference between the increase experienced in the sciences as compared to the humanities and the social sciences. Since 1981 humanities disciplines (fine arts, literature and language, etc.) have averaged price increases of 7.3%, and social science disciplines (business and economics, history, political science, etc.) a 9.6% increase. This compares to an 11.2% increase for the science and technology serials. The Brown data shows a slightly

greater differential between the two groups accounted for by the inclusion of foreign titles in the Brown data.

The graph below depicts the rise in average costs in the Faxon database and for the USPI.

U.S. Periodicals Price Index & Faxon Average Prices 1975-1990



Nationally, the trends to note are:

1) Average prices for serials ordered by college and university libraries and for foreign and domestic journals in general show average increases around 10% annually.

2) STM serials experience higher levels of price increase nationally than do serials in other disciplines.

II. Current Serial Price Outlook

Forecasts for 1991 (it is too early for any hard data) are useful only insofar as they indicate a trend in pricing that might affect local and national averages. Certainly 1991 prices need bear no resemblance to prices in 1992. Forecasts for 1991 are pessimistic in the extreme. Brown's major serial vendors have been unanimous in predicting high cost increases for foreign serials in particular, but also for domestic titles. Increases of between 25-35% for foreign titles is the norm. The bulk of this increase is for the dollar's loss in value, 17-18%. Domestic prices are also forecast to hit the double digit range, 12-14%.

In Faxon's 1990 edition of the *Faxon Planning Report*, the preliminary pricing plans of publishers for 1991 show a difference between the sciences and the social science/ humanities areas. In the scientific and technical area, 50% of the publishers plan to increase prices by at least 10%. In the biomedical discipline 80% of the publishers plan hikes between 6-12%. Of social science publishers, 50% plan increases below 6%. The trend among arts and humanities publishers is similar to those in the social sciences with 70% of the publishers predicting increases between 2-5%.

In short for 1991:

1) Prices for all serials will increase significantly.

2) Dollar devaluation will cause foreign serial costs to soar.

3) STM serials will experience higher rates of increase than other disciplines.

III. Dollar Watch

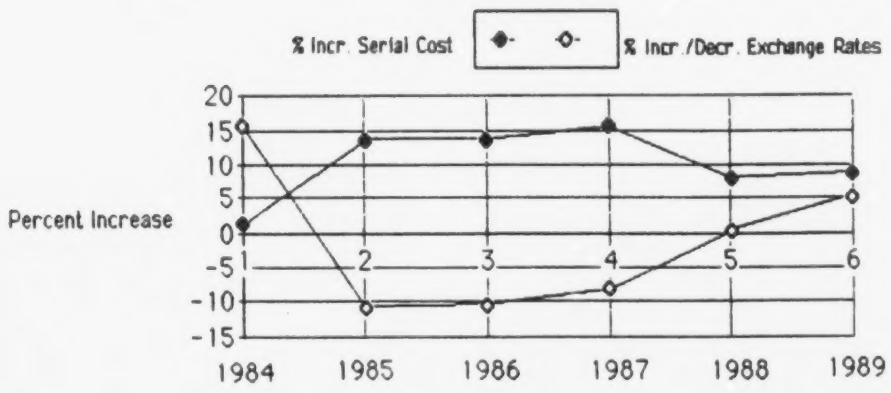
A. Overview

With more than half of the Library's serials expenditure going for titles published abroad (50.7% in 1989/90), one of the most significant components, as well as the biggest question mark, insofar as 1992 subscriptions are concerned is the value of the dollar in relation to the currencies of major european countries.

While the Library did not suffer seriously from dollar devaluation last year, during the eighties the Library's serials expenditures have become a slave to the value of the dollar in relation to the currencies of other major publishing countries (primarily Great Britain, West Germany and the Netherlands). The reason for this correlation is the fact that 6,191 or 41% of the Library's active serials, excluding documents, represent titles published outside of the United States. These titles accounted for 50.7% of the total serial expenditure for the Library in 1989/90. Because of this large number of foreign serials, fluctuation in the value of the dollar, even a small change, has a significant impact on the Library's expenditure for serials. A decline of 10% in the value of the dollar can result in the addition of $80,000 to Brown's serials expenditures.

The chart below demonstrates the relationship between exchange rate fluctuations and the average cost of a serial at Brown University. The exchange rate figures represent a percent of increase to a composite annual average of five major European currencies (Great Britain, West Germany, The Netherlands, France and Italy). The serial figure is the annual percent of increase in the cost of a serial at Brown. A decline in the value of the dollar represented by a negative exchange figure results in an increase in the average cost of a serial. Conversely, when the value of the dollar increased, the cost of a serial declined or leveled off. The double digit increases that Brown experienced in its serials expenditures from 1985-1987 were clearly driven by the Library's foreign serials.

The Effect of Exchange Rate Fluctuations on the Average Price of a Brown Serial 1984-1989



B. Current Assessment

The dollar used to be the one currency that global investors would flock to in a crisis, but that may not be true any longer. Despite the Gulf Crisis, the dollar has continued the decline it began last summer. Since June 1989 it has lost more than 17% of its value against other western currencies. Since April 1, 1990, the dollar has lost an average of 8.8% against 10 major currencies including 14.7% against the pound and 8.2% against the mark. In late July the dollar fell to its lowest rate against the mark since the German currency was established after World War II.

The major reason for the dollar's poor performance in the last twelve months and for its poor prognosis in the next six months is the fact that nearly every other major currency now offers a better rate of return on investment than does the dollar. In addition, the dollar continues to be burdened by a softening U.S. economy and the large U.S. deficit. With a better return available elsewhere, foreign investors are selling their U.S. holdings and the dollar is suffering. Figures show that Japanese investors have sold a net 8.9 billion of U.S. stocks and bonds in the first six months of this year.

Most economists feel that a further decline in the value of the dollar is inevitable. The Federal Reserve is going to have to edge the interest rate down or risk dropping the economy into something more serious than the recession that currently exists. This in turn will widen the gap between interest rates here and abroad further thereby increasing the sale of dollars in favor of other currencies. The dollar will thus continue to decline. The figure most commonly heard is a further 10% by the end of 1990. What happens after that is very much tied to the situation in the Gulf, to interest rates worldwide, and to the performance of the U.S. economy.

There is no economist or currency analyst in his/her right mind that would be willing to make a forecast beyond six months particularly under the present national and international circumstances. For planning purposes the most prudent course of action would seem to be to go with the forecast of the dollar dropping 10%. There is no firm basis for using a figure higher than that even though it may well occur.

In summary:

1) The dollar has lost considerable ground in the last 12 months. Forecasters see a further 10% decline in the remainder of 1990.

2) The international situation is volatile and the U.S. economy is in a downturn. Either or both of these situations could worsen and further erode the dollar's strength.

IV. The 1991/92 Preliminary Serials Commitment

Prepared as far in advance as this document is, averages are the only means available for determining inflation rates for 1991/92. Locally derived data is certainly more pertinent for this assignment than national. Brown's overall average annual rate of increase for serials has been 11.48%. Due to the uncertainty associated with the dollar for 1991/92 and beyond, however, separate domestic and foreign serial cost averages are more appropriate than an overall rate in calculating the 1991/92 serial expenditure estimate. The domestic average for Brown is 9.34% and the foreign (exclusive of the dollar) is 5.84%. Both figures should increase in 1991 based on the information available from vendors. I think that 10% and 7% respectively are appropriate as base rates of increase for 1992. To the foreign figure it is necessary to add an additional 10% to cover further declines in the value of the dollar. Thus I am

recommending using an 10% increase for domestic serials and a 17% increase for foreign serials.

As a budget base, I will use the 1990/91 estimate of 1.7 million less cancellations of approximately $50,000 for a total of 1.65 million. To this must be added the transfers scheduled to move to the serials funds in 1991/92, $12,000. The base for 1991/92 is $1,662,000. Of the base, 51% will be calculated at 17% and 49% at 10%.

The calculation of the 1991/92 serials commitment is:

Foreign serials	$991,715
Domestic serials	$895,818
Total	$1,887,535

Rounded off, the estimate of the 1991/92 serials commitment becomes **$1,890,000**. This represents a 14.5% increase over the 1990/91 serials figure of 1.65 million.

MERGE

UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/19/90
FUNDS REPORT

GIFT FUNDS

DEPARTMENT	ALLOCATION	ENCUMBERED & EXPENDED	CREDITS	BALANCE
ACCOUNT # 7 6392 4 LICHT FUND				
ACH-CHT Architecture	900.	928.		(28.)
ANT-CHT Anthropology/Archaelogy	900.	895.		5.
RES-CHT Restricted	267.	267.		0.
TOTAL	2,067.	2,090.		(23.)
ACCOUNT # 7 7054 9 FINKELSTEIN FUND				
ZWS-FIN Women's Studies	1,700.	1,762.		(62.)
RES-FIN Restricted	547.	500.		47.
TOTAL	2,247.	2,262.		(15.)
ACCOUNT # 7 7786 6 ROSNER FUND				
ZRM-ROS Special Collections	878.	104.		774.
TOTAL	878.	104.		774.
ACCOUNT # 7 7796 5 LEVIN FUND				
ANT-LEV Anthropology	1,000.	1,642.	642.	0.
CAS-LEV Afro-American/African	630.	637.		(7.)
SOC-LEV Sociology	3,000.	1,652.		1,348.
RES-LEV Restricted	3,000.	3,000.		0.
TOTAL	7,630.	6,931.	642.	1,341.

UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/19/90
FUNDS REPORT

DEPARTMENT	ALLOCATION	ENCUMBERED & EXPENDED	CREDITS	BALANCE
ACCOUNT # 7 7801 3 GOLD FUND				
BAC Accounting	3,000.	1,046.		1,954.
BAG Business General	6,000.	2,002.		3,998.
BCI Computer Information Systems	4,000.	1,040.		2,960.
BEC Economics	7,000.	2,521.		4,479.
BFI Finance	13,000.	8,549.		4,451.
BLW Business Law	2,000.	838.		1,162.
BMK Marketing	6,000.	1,674.		4,326.
BMO Business Management & Organization	4,000.	3,129.		871.
BMS Management Science	4,000.	4,071.		(71.)
BPE Periodical Renewals	40,000.	40,386.		(386.)
BPP Politics & Public Affairs	8,000.	6,800.		1,200.
BRF General Reference	3,000.	3,322.		(322.)
BSO Serial & Standing Order Renewals	30,000.	95,710.		(65,710.)
TOTAL	130,000.	171,088.		(41,088.)
ACCOUNT # 7 7802 1 DUPONT FUND				
ACH-DUP Architecture	2,000.	275.		1,725.
ART-DUP Art	1,500.	1,500.		0.
HIS-DUP History	3,000.	2,938.		62.
MBK-DUP Music Books	1,500.	1,585.		(85.)
MRE-DUP Music Disc	500.	500.		0.
MSC-DUP Music Scores	1,000.	1,000.		0.
PHI-DUP Philosophy	2,000.	475.		1,525
RES-DUP Restricted	2,022.	2,022.		0.
TOTAL	13,522.	10,295.		3,227.

UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/19/90
FUNDS REPORT

DEPARTMENT	ALLOCATION	ENCUMBERED & EXPENDED	CREDITS	BALANCE
ACCOUNT # 7 7805 4 LIBRARY MEMORIAL FUND				
REL-LMF Religion	0.	176.	373.	197.
JUD-LMF Judaica	800.	1,757.	1,458.	501.
ZFL-LMF Florida Collection	1,200.	1,985.	300.	(485.)
RES-LMF Restricted	29,000.	16,984.		12,016.
		-	700.	700.
TOTAL	31,000.	20,902.	2,831.	12,929.
ACCOUNT # 7 7808 8 McDANIEL FUND				
HIS-McD History	1,000.	967.		33.
TOTAL	1,000.	967.		33.
ACCOUNT # 7 7834 4 WALKER FUND				
COP-WAL Motion Pictures & Broadcasting	2,600.	2,500.	500.	600.
CPJ-WAL Journalism & Photo Journalism	2,600.	218.	250.	2,632.
CPR-WAL Advertising & Public Relations	1,800.	1,287.	250.	763.
RES-WAL Reserved	443.	-	-	443.
TOTAL	7,443.	4,005.	1,000.	4,438.
ACCOUNT # 7 7897 1 STANFORD FUND				
ENG-STA English	5,164.	5,145.		19.
FOR-STA Foreign Languages	1,000.	978.		22.
PHI-STA Philosophy	2,000.	506.		1,494.
SPA-STA Spanish	2,000.	1,942.		58.
TOTAL	10,164.	8,571.		1,593.

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UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/19/90
FUNDS REPORT

BALLEN BOOKSELLERS INTERNATIONAL, INC.

OPENING BALANCE:			(11,084.79)
DEPOSIT TO ACCOUNT: P.O. # L 194130		400,000.00	
INVOICES:			
JUNE	92,783.22		
JULY	16,250.68	109,033.90	
DELAYED RETURNS ADDED TO ESCROW:			
JUNE	-		
JULY	48.41	48.41	
TOTAL BALANCE AS OF INVOICES DATED 7/10/90			279,929.72

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UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/19/90
FUNDS REPORT

ZMA MUSIC SCORE APPROVAL PLAN

EUROPEAN AMERICAN RETAIL MUSIC P.O. L 195901

ALLOCATION:		3,000.00	
EXPENDED:	310.16		2,681.84
BALANCE:			

OTTO HARRASSOWITZ P.O. # L 195904

ALLOCATION:		4,000.00	
EXPENDED:	1,077.41		2,922.59
BALANCE:			

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UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/13/90
FUNDS REPORT
Acct. # 1 7800 4

DEPARTMENT		ALLOCATION	ENCUMBERED & EXPENDED	BALANCE AVAILABLE
ACH	Architecture	4,000.	248.	3,752.
ARTS & SCIENCE				
ANT	Anthropology/Archaelogy	1,500.	1,091.	409.
ART	Art	3,000.	1,036.	1,964.
BCH	Biochemistry	500.	-	500.
BIO	Biology	8,000.	882.	7,118.
CAS	Afro-American/African	1,000.	242.	758.
CHM	Chemistry	7,000.	39.	6,961.
COS	Computer Science	5,000.	709.	4,291.
DRA	Drama	1,000.	113.	887.
ENG	English	8,500.	1,515.	6,985.
FLO	Foreign Languages/Other	200.	-	200.
FRN	Foreign Languages/French	3,500.	895.	2,605.
GER	Foreign Languages/German	2,000.	108.	1,892.
GEG	Geography	3,000.	-	3,000.
GEL	Geology	1,500.	110.	1,390.
HIS	History	8,500.	3,425.	5,075.
JUD	Judaica	2,000.	151.	1,849.
MAT	Mathematics	6,000.	1,106.	4,894.
PHI	Philosophy	3,000.	280.	2,720.
PHY	Physics	7,000.	-	7,000.
PSY	Psychology	7,000.	2,456.	4,544.
REL	Religion	4,000.	1,851.	2,149.
SOC	Sociology	4,000.	-	4,000.
SPA	Spanish Language and Literature	7,000.	2,432.	4,568.
	Sub-total	94,200.	18,441.	75,759.
BUSINESS				
KAC	Accounting	500.	183.	317.
KCI	Computer Information Systems	1,400.	342.	1,058.
KEC	Economics	1,000.	924.	76.
KFI	Finance	1,000.	215.	785.
KLW	Business Law	200.	241.	(41.)
KMK	Marketing	1,000.	164.	836.
KMO	Business Management/Organization	1,000.	613.	387.
KMS	Management Science	1,400.	229.	1,171.

COMMUNICATIONS

COP	Motion Pictures & Broadcasting	300.	-	300.
CPJ	Journalism & Photo Journalism	300.	-	300.
CPR	Advertising & Public Relations	300.	20.	280.
	Sub-total	900.	20.	880.

EDUCATION

EDP	Psychological Studies	2,500.	216.	2,284.
EDS	Sports	1,500.	1,390.	110.
EDT	Teaching & Learning	7,000.	1,322.	5,678.
	Sub-total	11,000.	2,928.	8,072.

ENGINEERING

EGB	Biomedical	1,000.	-	1,000.
EGC	Civil & Architectural	4,000.	1,036.	2,964.
EGE	Electrical	5,500.	1,351.	4,149.
EGI	Industrial	4,000.	-	4,000.
EGM	Mechanical	3,500.	532.	2,968.
	Sub-total	18,000.	2,919.	15,081.

UNIVERSITY OF MIAMI
Otto G. Richter Library
Acquisitions Department

DATE: 7/13/90
FUNDS REPORT
Acct. # 1 7800 4

DEPARTMENT	ALLOCATION	ENCUMBERED & EXPENDED	BALANCE AVAILABLE
GRADUATE SCHOOL OF INTERNATIONAL STUDIES (GSIS)			
ISG General	4,500.	846.	3,654.
ISI Inter-American	2,000.	535.	1,465.
ISM Middle East	1,500.	529.	971.
ISS Soviet Union	3,000.	1,182.	1,818.
Sub-total	11,000.	3,092.	7,908.
MUSIC			
MBK Music Books	6,000.	1,178.	4,822.
MRE Music Disc	5,000.	981.	4,019.
MSC Music Scores	2,000.	835.	1,165.
Sub-total	13,000.	2,994.	10,006.
LIBRARY			
ZAF Academic Sofware	500.	323.	177.
ZCD Cataloging	500.	-	500.
ZCF Contemporary Fiction	1,000.	23.	977.
ZCR Caribbean	6,000.	271.	5,729.
ZCS Compass	500.	34.	466.
ZCU Cuba	4,000.	288.	3,712.
ZFL Florida Collection	4,000.	480.	3,520.
ZGP Goverment Publications	4,000.	322.	3,678.
ZLA Latin American	17,648.	1,507.	16,141.
ZLS Library Science	500.	247.	253.
ZMP Maps	1,000.	-	1,000.
ZOP Out of Print	2,000.	976.	1,024.
ZPB Paperback Collection	200.	-	200.
ZRF General Reference	7,100.	950.	6,350.
ZRM Rare Books	5,000.	1,684.	3,316.
ZSF Science Fiction	400.	80.	320.
ZUN University Collection	800.	-	800.
ZWS Women's Studies	1,000.	-	1,000.
Sub-total	56,148.	6,985.	49,163.
ZEN Encumbrances ('89/'90)	8,000.	1,185.	6,815.

APPROVAL PLAN					
ZAP	Ballen		400,000.	400,021.	(21.)
ZMA	Music Scores		7,000.	7,000.	0.
	Sub-total		407,000.	407,021.	(21.)
RESERVE & REPLACEMENT				CREDITS	
ZCC	Circulation (Rep. 90)		0.	-	0.
ZRP	Replacements		0.	3,374.	(3,374.)
ZSR	Library Reserve		100,000.	-	100,000.
ZZZ	Collection Development		0.	953. 599.	(354.)
	Sub-total		100,000.	4,327. 599.	96,272.
	GRAND TOTAL	(6201)	731,748.	453,934. 599.	278,413.
CONTINUATIONS					
ZME	Memberships	(6202)	65,000.	4,760.	60,240.
ZSO	Serials/Standing Orders	(6202)	333,000.	56,610.	276,390.
ZPE	Periodicals	(6203)	894,000.	753,994.	140,006.
ZPR	Periodical Replacements	(6203)	10,000.	255.	9,745.
	Sub-total		1'302,000.	815,619.	486,381.
BINDING					
ZGB	Binding	(6204)	80,000.	5,428.	74,572.
	GRAND TOTAL		2'113,748.	1'274,981. 599.	839,366.

III. ALLOCATION PRINCIPLES

The first step taken by the Collection Development FIG, prior to review of any allocations process, was the development of a set of guiding principles for distribution of acquisitions funds. Once established, they were used as the standard against which all allocation options were measured. The FIG believes that the recommendations proposed in this report fulfill, in large measure, the principles listed below.

GOALS

1. The acquisitions budget should support the teaching and research mission of the University.

2. The acquisitions budget should be consistent with the mission, goals, and priorities of the University Libraries.

3. The process should reflect the dynamism of the university community and be responsive to evolving and changing needs.

4. The process should be open to present and future concerns of teaching and research faculty and provide for continuous planning and close cooperation between the Libraries and academic units.

5. Funds for library acquisitions should be dedicated to the acquiring or providing of access to information.

6. Acquisitions allocations should enable individual units to respond to their respective needs as their missions dictate.

7. Acquisitions allocations should be sensitive to the political climate of the University and the Libraries.

PROCESS

1. Allocation of funds is understood to be the responsibility of the University Libraries.

2. Distribution of funds within a unit is the right and responsibility of that unit.

3. The allocations process should be as fair and objective as possible.

4. The allocations process should be timely, consultative, and collaborative within the University Libraries.

5. The acquisitions budget should be consistent with and defensible on the basis of current and long-range collection policies and goals.

6. Criteria on which allocations are made should be public knowledge, and the method should be applied consistently from year to year across the system.

7. The allocation process should allow for a distribution of funds that recognizes the unique needs of individual units.

8. The allocation process should be flexible, while not permitting annual changes of such drastic proportions as to render planning impossible.

FISCAL CONTINGENCIES

1. The allocation method should allow for a reasoned response to national and international trends as they pertain to costs of materials (inflation, foreign exchange rates, and publishing output).

2. The acquisitions budget should allow units to take advantage of new technologies that can improve access and service.

3. The allocation process should include regular reviews of ongoing serial and membership commitments, to ensure that they mirror current needs.

4. The allocation method should ensure that the most appropriate and accurate figures are used in any criteria employed.

SAMPLE AGREEMENT

RIVERSIDE THE UNIVERSITY LIBRARY
RIVERSIDE, CALIFORNIA 92517

June 14, 1984

TO : Stepan Karamardian
Dean, Graduate School of Management

FROM: Joan Chambers Joan Chambers
University Librarian

RE : Acquisition of Financial Data Base

The University Library is pleased it has been able to acquire the New York Stock Exchange Monthly Master/Monthly Return Files published by the Center for Research in Security Prices at the University of Chicago. We realize that this comprehensive, detailed and manipulable history of security price information will provide vital support for the finance majors and for faculty research in the Graduate School of Management.

Data bases by their very nature require adaptations in the treatment and management given to other library materials and medias. Nevertheless most principles of research librarianship apply to them as to other forms of recorded knowledge.

We believe it important for the Library, GSM, and the campus to have a common understanding regarding the acquisition, disposition, and use of this data base, which will undoubtedly be a precursor to others. The following points seem most pertinent to us. We hope that you will find them reasonable and feasible. We would, of course, welcome your thoughts about other points and possibilities.

1. The NYSE Monthly Master/Monthly Returns Files are a part of the University Library's collections.

2. The Library will continue to pay all subscription fees as long as the data base is needed and affordable.

3. The database has been accessioned and cataloged by the Library, as would any other type of publication.

4. A duplicate set of written documentation has been cataloged for use in the Library.

5. The Library has indefinitely loaned the database to GSM, which will arrange for housing it in the Academic Computing Center, and for mounting, maintaining, and accessing it on various computer systems.

6. In addition to serving its own students and faculty, GSM will provide convenient access to any UCR student, faculty, or staff who wish to use the files. The user will need to have accounts for both the IBM 4341 and Prime systems. Depending on the complexity of the request, the GSM Computer Facility will either arrange for selected data sets to be loaded into the user's Prime disc directory or supply the user with sample programs for directly accessing the file. The GSM Computer

Facility can only process a limited number of such requests per month. For assistance with statistical analysis, the user may confer with either the Department of Statistics or the Academic Computing Center consulting services.

7. The Library may access the database on its own terminals via the campus communications network and the data switch.

8. All provisions of the vendor's subscription agreement (attached) will be respected by both the Library and GSM.

9. The Library retains the right at some future date to reconsider the treatment, disposition, and location of the electronic publications and data bases which are a part of its collection.

A milestone has been reached for educational excellence at UCR. With our new approach, and close cooperation in the future, we will provide an exceptional information resource.

Attachment

cc: Peter Briscoe ✓
James Pick
Larry Sautter
LAUC-R (w/o attachment)

SELECTED READINGS

SELECTED READINGS

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